



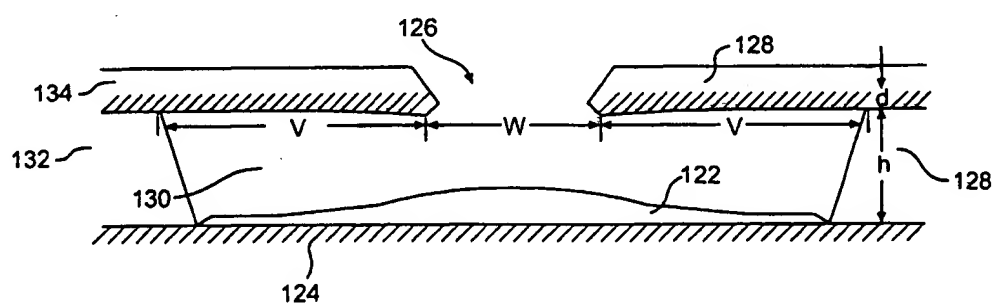
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INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification 6 : B05D 1/32, B29D 11/00, G02B 27/10, 6/32, G02F 1/3333, H10L 29/20, 31/0232, H10S 3/08</p>		<p>A1</p>	<p>(11) International Publication Number: <b>WO 99/52647</b></p> <p>(43) International Publication Date: 21 October 1999 (21.10.99)</p>
<p>(21) International Application Number: PCT/US99/08279</p> <p>(22) International Filing Date: 15 April 1999 (15.04.99)</p> <p>(30) Priority Data: 60/082,180 16 April 1998 (16.04.98) US</p> <p>(71) Applicant: THE UNIVERSITY OF NEW MEXICO [US/US]; Qunitana, Annabelle, Patent Administration Office, Hokona Hall, Room 357, 2500 Campus Boulevard, N.E., Albuquerque, NM 87131 (US).</p> <p>(72) Inventors: PEAKE, Gregory; 241 Morningside N.E., Albuquerque, NM 87108 (US). HERSEE, Stephen; 241 Morningside N.E., Albuquerque, NM 87108 (US). SARAGAN, Andrew; Apartment 1076, 220 Western Skies Drive, S.E., Albuquerque, NM 87123 (US).</p> <p>(74) Agent: JAGTIANI, Ajay; 10379-B Democracy Lane, Fairfax, VA 22030 (US).</p>		<p>(81) Designated States: CA, JP, MX, European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE).</p> <p><b>Published</b> With international search report. Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.</p>	

(54) Title: NON-PLANAR MICRO-OPTICAL STRUCTURES



(57) Abstract

In one embodiment, the present invention provides a microlens having very small focal length. The present invention also provides a non-planar microstructure having a covering layer which is slowly oxidizing or substantially free of oxygen. The present invention also provides methods for forming such microlenses and microstructures. In addition, the present invention provides a VCSEL which includes one or more non-planar microstructures of the present invention.

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## NON-PLANAR MICRO-OPTICAL STRUCTURES

### CROSS-REFERENCE TO RELATED APPLICATIONS

5           This application is based on U.S. Provisional Application No. 60/082,180 filed April 16, 1998, the entire contents and disclosure of which is hereby incorporated by reference.

### STATEMENT OF GOVERNMENT INTEREST

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          This invention is made with government support under grant number MDA972-98-1-0002, awarded by the United States Defense Advanced Research Projects Agency and grant number F49620-96-1-0079, awarded by the Air Force Office of Scientific Research. The government may have certain rights in this invention.

15

### BACKGROUND OF THE INVENTION

#### Field of the Invention

20           The present invention relates generally to microlenses and microlens arrays and methods of forming microlenses and microlens arrays.

#### Description of the Prior Art

25           Microlenses have been fabricated using a number of different methods in the past including planar ion-exchange, photoresist and plastic flow, microjet printing, reactive ion etching and laser ablation. However, while many of these techniques may produce acceptable microlenses, these prior methods frequently use non-standard processes and are not easily integrated into the manufacturing of optoelectronic devices.

30

### SUMMARY OF THE INVENTION

It is therefore an object of the present invention to provide a method for  
5 producing microlenses that can be directly integrated into the fabrication process of  
microoptical systems.

It is another object of the present invention to provide an epitaxial growth  
method that is capable of producing highly nonplanar features that are free from  
10 macroscopic facetting.

According to one aspect of the present invention, there is provided a microlens  
having a focal length of 50  $\mu\text{m}$  or less.

15 According to a second aspect of the present invention, there is provided an array  
of microlenses mounted on a substrate, each of the microlenses having a focal length of  
50  $\mu\text{m}$  or less.

According to a third aspect of the present invention, there is provided a non-  
20 planar microstructure comprising a first layer comprising at least one first CVD material  
selected from the group consisting of: a rapidly oxidizing CVD material and an oxygen-  
containing CVD material; and a covering layer comprising at least one second CVD  
material selected from the group consisting of: a slowly oxidizing CVD material and a  
substantially oxygen free CVD material, the covering layer substantially covering a top  
25 surface of the first layer.

According to a fourth aspect of the present invention, there is provided a method  
for making at least one non-planar microstructure comprising the steps of: depositing at  
least one CVD material through at least one window of a mask layer and an opening in a  
30 spacer layer beneath the mask layer to form a non-planar microstructure on a substrate.

the mask layer being separated from the substrate by the spacer layer and overhanging the spacer layer; and removing the mask layer and the spacer layer by applying a removal solution to the mask layer and the spacer layer which does not react with the non-planar microstructure.

5

According to a fifth aspect of the present invention, there is provided a vertical cavity surface emitting laser structure comprising: a vertical cavity surface emitting laser; and at least one non-planar microstructure at one end of the vertical cavity surface emitting laser.

10

According to a sixth aspect of the present invention, there is provided a method for making at least one non-planar microstructure comprising the steps of: depositing at least one CVD material through at least one window of a shadow mask to form a non-planar microstructure on a substrate, the shadow mask including an overhanging region which overhangs a spacer region which is directly bonded to said substrate.

15

Other objects and features of the present invention will be apparent from the following detailed description of the preferred embodiments.

20

### **BRIEF DESCRIPTION OF THE DRAWINGS**

The invention will be described in conjunction with the accompanying drawings, in which:

25

Figure 1A is a cross-sectional view of shadow mask geometry after the regrowth of a sample in accordance with one preferred method of the present invention;

Figure 1B is a cross-sectional view of shadow mask geometry after the regrowth of a sample in accordance with another preferred method of the present invention;

5      Figure 2 illustrates a lens array of the present invention with a shadow mask in place:

Figure 3 illustrates the lens array of Figure 3 with the mask removed;

10      Figure 4 is a cross-section of a microlens of the present invention;

Figure 5 is a SEM of an astigmatic microlens of the present invention;

15      Figure 6 is a graph of profilometer measurements of microlenses of the present invention;

Figure 7 is a graph illustrating a comparison between actual and simulated lens profiles;

20      Figure 8 is a schematic illustration of the set-up used to measure the focal length of the lenses of Example 1;

Figure 9 is a graph of focal length as a function of the radius of curvature of a microlens;

25      Figure 10 is a graph of intensity distribution at a focal point

Figure 11 is an SEM of silicon nitride deposited under a shadow mask;

30      Figure 12 is a profilometer measurement of a micromirror of the present invention;

Figure 13 is scanning electron micrograph of a deep RIE etched mask of the present invention;

5        Figure 14 illustrates a cross section view of two aligned substrates on which there are mounted microlenses of the present invention;

Figure 15 illustrates a charge coupled device of the present invention integrated with a microlens of the present invention;

10

Figure 16 illustrates in schematic form a wavefront sensor of the present invention;

Figure 17 illustrates in schematic form a cross-section view of a VCSEL with  
15    integrated microlens of the present invention;

Figure 18 illustrates in schematic form a cross-section view of a convex VCSEL with integrated microlens of the present invention;

20        Figure 19 illustrates in schematic form a cross-section view of a concave VCSEL of the present invention;

Figure 20 illustrates in schematic form a cross-section view of a convex VCSEL  
25    with integrated microlens of the present invention and an ITO contact;

Figure 21 illustrates in schematic form an edge emitting laser including a beam expander;

Figure 22 is a schematic cross-sectional view of an edge emitting laser including a microlens of the present invention;

Figure 23 is a schematic cross-sectional view of the deposition of a concave  
5 layer using a modified shadow mask.

## **DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENT**

### **Definitions**

10 For the purposes of the present invention the terms "sub-millimeter microlens" or "microlens" refer to a substantially circular lens having a diameter less than 1 millimeter.

For the purposes of the present invention, the term "microstructure" refers to a  
15 structure which is less than 1 millimeter in diameter, width or length in at least one dimension. For the purposes of the present invention, the term "non-planar microstructure" refers to microstructures which have a top surface including one or more regions which are curved in at least one direction. One example of a non-planar microstructure is a microlens.

20

For the purposes of the present invention, the term "micro-optical" structure refers to a microstructure through which light waves, such as the light waves of a laser beam, may pass.

25 For the purposes of the present invention, the term "array" refers to at least two microlens deposited or mounted on the same substrate.

For the purposes of the present invention, the term "CVD" refers to any method of chemical vapor deposition including: MOCVD, OMCVD, *etc.* or a method of vapor  
30 phase epitaxy including OMVPE, MOVPE, *etc.*



For the purposes of the present invention, the term "CVD material" refers to any material which may be deposited on a substrate using chemical vapor deposition technology. Examples of CVD materials include semiconductor materials such as Si and GaAs, crystalline materials such as diamond, polycrystalline and amorphous materials such as  $\text{SiN}_x$ , *etc.* The CVD material of the present invention may be deposited by mixing various source materials, such as arsine and trimethylgallium for depositing GaAs or silane and ammonia for  $\text{SiN}_x$ .

For the purposes of the present invention the term "semiconductor material" refers to both doped and undoped semiconductor materials, unless the semiconductor material is specifically referred to as a doped semiconductor material or an undoped semiconductor material.

For the purposes of the present invention, the term "group III-V semiconductor material" refers to any semiconductor material comprised of one or more group III elements: B, Ga, Al, In, *etc.* and one or more group V elements: N, As, Sb, P, Bi, *etc.*

For the purposes of the present invention, the term "mask layer" refers to a single shadow mask having one or more windows or a number of shadow mask sections, each with one or more windows.

For the purposes of the present invention, the term "spacer layer" refers to a continuous layer or a layer divided into sections which is located between a shadow mask layer and the substrate on which a CVD material of the present invention is deposited.

For the purposes of the present invention, the term "FWHM" refers to full width at half maximum.

For the purposes of the present invention, the term "high concentration aluminum layer" refers to a layer having a concentration of at least about 70% Al.

For the purposes of the present invention, the term "RIE" refers to reactive ion  
5 etch. For the purposes of the present invention, the term "deep RIE" refers to a reactive ion etch deeper than 10  $\mu\text{m}$ .

For the purpose of the present invention, the term "ITO" refers to indium tin  
oxide.

10

For the purposes of the present invention, the term "rapidly oxidizing" refers to an oxidation rate faster than about 1  $\mu\text{m}/\text{hour}$ .

For the purpose of the present invention, the term "slowly oxidizing" refers to an  
15 oxidation rate slower than about 0.1  $\mu\text{m}/\text{hours}$ .

For the purposes of the present invention, the term "DBR" refers to a distributed Bragg reflector.

20 For the purposes of the present invention, the term "SEM" refers to a scanning electron micrograph.

For the purposes of the present invention, the term "direct bonding" refers to techniques for bonding a structure directly to a substrate such as: wafer bonding, fusion  
25 bonding, direct wafer bonding, direct fusion bonding, etc.

30

### Description

The method of the present invention is based on shadow masked chemical vapor deposition (CVD) which is an improvement on conventional epitaxial growth technologies in that the method of the present invention is capable of producing highly nonplanar features that are entirely free from facetting. Conventional photolithography or a permanent mask is used to determine the size, shape and location of the entire lens array. Furthermore, different lens shapes and sizes can be grown simultaneously and the microlenses produced by the method of the present invention may be directly integrated into the fabrication process of microoptical systems. Using the method of the present invention it is also possible to produce high quality microlens arrays with precise control of aperture, sagitta, focal length, astigmatism and position.

In one preferred method of the present invention, a spacer layer, preferably having an aluminum content of 70% or greater, most preferably 90% or greater, is deposited on a substrate using conventional techniques. Many different types of substrates may be used for the purposes of the present invention, but a preferred substrate is GaAs. A preferred material for the spacer layer is AlGaAs. On top of the spacer layer, there is deposited a mask layer using conventional techniques for depositing mask layers. Although many materials may be suitable for the mask layer, a preferred material is GaAs.

After the mask layer is deposited, a window is etched in the mask layer using conventional etching techniques. A preferred technique is to use photolithography followed by treatment with an etching solution. In this preferred technique, a window pattern is first etched into the mask layer with an etching solution, such as  $\text{NH}_4\text{OH}:\text{H}_2\text{O}_2:\text{H}_2\text{O}$  at room temperature. For mask layers used to produce microlenses of the present invention, the window in the mask layer is circular, but may be other shapes depending on the microstructure to be formed. When an array of microstructures is to be formed, several windows may be etched in the mask layer.

Once the window in the shadow mask is etched, a selective etching solution is applied which only etches the spacer layer and does not etch the mask layer nor the substrate. One preferred etching solution is KI: I<sub>2</sub>: H<sub>3</sub>PO<sub>4</sub>. The selective etching is applied in amount sufficient so that the spacer layer is undercut and the mask layer overhangs the spacer layer, preferably by a few microns. For microlenses of about 30 μm or less in diameter, the overhang is preferably approximately 10 μm. After etching the spacer layer, the mask layer, spacer layer and substrate are preferably washed with a conventional cleaning solution such as water to removed any remaining etching solution or debris present.

At least one CVD material is then deposited through the window of the mask layer on the substrate using a conventional CVD process such as using a metalorganic CVD (MOCVD) reactor. For depositing GaAs microstructures on the substrate, preferred source materials are arsine and trimethylgallium. Additional CVD materials may deposited after the first CVD material is deposited. For example, after depositing a first CVD material such as SiO<sub>2</sub>, which contains oxygen, a second CVD material such as GaAs, which is free of oxygen, may be deposited over the SiO<sub>2</sub> microstructure to form a covering layer to protect the microstructure from a HF acid solution applied in the "lift-off" or removal step of the method of the present invention.

After the microstructure has been deposited on the substrate, the mask layer and spacer layer are removed by applying a solution containing HF to the spacer layer to etch and remove the spacer layer, and, thereby, remove the mask layer from the substrate as well. The high concentration of Al in the spacer layer makes the spacer layer capable of being etched and removed by the HF solution. After the mask layer and spacer layer have been removed, the microstructure on the substrate may be used as is or, in other applications, may be further processed. To insure that the deposited microstructure is not affected by the HF solution, the microstructure is comprised of a

material that is slowly oxidizing or substantially free of oxygen or is coated by a covering layer that is slowly oxidizing or substantially free of oxygen.

The above-described embodiment of the method of the present invention is illustrated in Figure 1A. This method uses an epitaxial mask that is grown by a conventional MOVPE process and then patterned by conventional photolithography and wet etching. The sample is then returned to the reactor for shadow masked growth. Figure 1A illustrates the shadow mask geometry after the sample regrowth. A non-planar microstructure 102 is deposited on a GaAs substrate 104 through a window 106 of a GaAs shadow mask 108 and an opening 110 in a spacer layer 112 which is on top of the substrate 104. Theoretical analysis of shadow-masked CVD shows that the growth rate and detailed shape of the microlens is controlled by the geometrical parameters of the mask: space layer thickness  $h$ ; mask layer thickness  $d$ ; window width  $w$ ; and mask overhang distance  $v$ .

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In a second preferred embodiment of the method of the present, the method of the present invention uses a removable micromachined mask which combines the functions of the shadow mask and spacer layer of the previously described embodiment. A preferred material for the micromachined mask of the present invention is Si. The micromachined mask may be formed by etching a large opening from the bottom of a silicon wafer, and aligning and etching a smaller window that is etched through the previously formed opening. Preferably, a layer of  $\text{SiO}_2$  is grown over all of the surfaces of the micromachined mask. In this method, the micromachined mask is mounted directly on the substrate by direct bonding and then the CVD material is deposited through the window and opening on the substrate. After a non-planar microstructure of the present invention has been deposited on the substrate, the micromachined mask is removed from the substrate by conventional thermal or mechanical shock methods used to remove direct bonded structures from substrate materials. This method has the advantage of using a shadow mask which may be used over and over again to form non-planar microstructures of the present invention.

30

Figure 1B illustrates the above-described embodiment of the method of the present invention which uses a removable micromachined shadow mask. Figure 1B illustrates the shadow mask geometry after the sample regrowth. A non-planar  
5 microstructure 122 is deposited on a substrate 124 through a window 126 in an Si shadow mask 128 and an opening 130, which is also in the shadow mask 128. Shadow mask 128 is mounted directly on the substrate 124 by direct fusion bonding. The shadow mask 128 includes a spacer region 132, which functions similarly to the spacer layer 112 of the method of Figure 1A, and an overhang region 134, which functions  
10 similarly to the shadow mask 108 of the method of Figure 1A. Theoretical analysis of shadow-masked CVD shows that the growth rate and detailed shape of the microlens is controlled by the geometrical parameters of the mask: space layer thickness  $h$ ; mask layer thickness  $d$ ; window width  $w$ ; and mask overhang distance  $v$ .

15

In one embodiment, the present invention provides a method for the fabrication of sub-millimeter microlenses and microlens arrays that exhibit diffraction limited performance. The present invention also provides novel shadow mask materials.

20 In another embodiment the present invention provides optoelectronic devices employing the microlenses and microlens arrays of the present invention.

The microlenses of the present invention are preferably fabricated in GaAs, but may also be fabricated in other semiconductor materials such as Si, Ge, *etc.*, group III-V  
25 semiconductor materials such as InP, GaP, InAs, InSb, SiN, *etc.*, various ternary and quaternary alloys of these semiconductor materials and in oxides, nitrides, and other dielectrics that can be deposited by chemical vapor deposition (CVD).

The microlenses and microlens arrays of the present invention may be directly  
30 integrated onto an underlying structure during growth. Additionally, different curvature

lenses may be fabricated within the same growth sequence. The method of the present invention produces microlenses having excellent uniformity. The microlenses of the present invention exhibit diffraction limited performance with focal lengths ranging from 40 to 150 microns and with FWHM less than 2 microns, so the lenses of the present invention  
5 are compatible with coupling to single mode fibers.

The present invention provides a method for fabricating microlenses and microlens arrays that use photolithography, wet-chemical etching and shadow-masked CVD. Specifically, the method of the present invention allows for shadow masked  
10 chemical vapor deposition with concentrically variable refractive index control in the direction of wave propagation. Microlenses with apertures as small as at least 30  $\mu\text{m}$  may be fabricated in GaAs with focal lengths as small as 50  $\mu\text{m}$  or less, preferably 40  $\mu\text{m}$  or less, most preferably 30  $\mu\text{m}$  or less. The lenses produced by the method of the present invention are preferably spherical and are not subject to facetting. The  
15 microlenses may have beam waists as small as 2  $\mu\text{m}$  and the lenses of the present invention may operate near the diffraction limit.

The method of the present invention allows for the material refractive index of a microlens to be precisely controlled with respect to the position of the microlens in  
20 advanced structures.

Although GaAs is a preferred substrate material for practicing the methods of the present invention, other substrates may be used as well, because there is no necessity in the method of the present invention that the substrate have the same crystal lattice  
25 spacing as the deposited material. In some embodiments of the present invention, the vapor phase deposition of a material on mismatched substrate may be exploited to put microlenses on charge coupled device (CCD) pixels or GaAs waveguides on silicon substrates for integration with the shadow masked technique of the present invention.

The microlenses of the present invention may be aligned. For example, an upper structure 1402 have an array of convex microlenses 1404 mounted thereon may be aligned with a lower structure 1406 on which are mounted an array of micro mirrors 1408.

5

Other alignments may be obtained using an aligner/bonder for direct fusion bonding of the deposited structures, such as microlenses, of the present invention on various substrates.

10       The present invention also contemplates a CCD comprising an array of closely spaced diodes that may be grown in a semiconductor material with the inclusion of a microlens to more efficiently collect the incoming light as shown in Figure 15. In Figure 15 a CCD device 1502 includes a substrate 1504 having a buried CCD channel 1506, a guard ring 1508 and a channel stop 1510. On top of the substrate 1504 are deposited successively an oxide or dielectric layer 1512, a CCD transfer gate 1514 and a light shield 1516. A microlens 1518 is also mounted on the substrate 1504 to receive incoming light 1520. By growing a shadow masked microlens of the present invention, the CCD structure and microlens may be fabricated in one growth sequence.

20       In addition the present invention contemplates wave front sensors having an array of similar sized microlenses, such as the wavefront sensor shown in Figure 16. In Figure 16 a two-dimensional array 1602 of microlenses 1604 is placed in front of a CCD or photodetector array 1606. When a wavefront 1608 passes through the array 1602 and is detected by the CCD or photodetector array 1606, a signal 1610 is transferred to a computer 1612. As the wavefront reaches the array, the phase relation may be calculated from information supplied by the focal spot position. In the past, large lenses, hundreds of microns in diameter, have been used to detect long wavelengths. In contrast, a microlens array of the present invention is capable of detecting wavefront variation for much shorter wavelengths.

30



The present invention also contemplates an LED incorporating the microlens of the present invention. LEDs may be made more efficient by using a microlens to capture more of the incoming light. In the past, wet-etched silicon masks have been used to improve the efficiency of microcavity LEDs. In the present invention, the use of  
5 RIE etched silicon masks in forming microlenses for LEDs may provide much greater flexibility in choosing lens characteristics.

The present invention also contemplates a VCSEL incorporating a microlens of the present invention. There are several applications, such as two-dimensional parallel  
10 optical interconnects, where a tightly focused beam is required from a VCSEL. This is typically realized through the use of external micro-optics. However, by growing a lens on the top side of a VCSEL, this collimation may be more precisely and inexpensively controlled.

15 Figure 17 illustrates a VCSEL 1702 of the present invention with an integrated microlens 1704. The VCSEL 1702 includes a set of layers comprising a bottom distributed Bragg reflector (DBR) 1706, an active region 1708 and a set of layers comprising a top DBR 1710. The layers of the bottom DBR 1706 and top DBR 1710 are typically alternating layers of two different semiconductor materials, such as GaAs  
20 and AlGaAs.

The present invention also contemplates a VCSEL with part of its Bragg mirror layers grown by shadow-masked CVD. By growing part of the upper mirror layers using the method of the present invention, the thickness profile of each mirror layer may  
25 be controlled. This detunes the upper mirror reflectivity from the bottom mirror, which in turn detunes the resonance wavelength and cavity loss. These may be treated as a shift in the complex effective index of the cavity. Hence, by carefully controlling the thickness of each mirror layer, the complex effective index profile may be varied concentrically around the propagating axis of the VCSEL. By growing part of the upper  
30 mirror stack as a convex or concave structure about the central axis, as shown in Figures

18 and 19, respectively, a variety of VCSEL structures with varying lateral profiles may be realized, with improved spatial mode performance.

Figure 18 illustrates a convex VCSEL 1802 of the present invention with an integrated microlens 1804. The convex VCSEL 1802 includes a set of layers comprising a bottom DBR 1806, an active region 1808 and a set of layers comprising a top DBR 1810 having several convex layers 1812 in the region adjacent to the microlens 1804. The convex layers 1812 are grown using the method of the present invention to the convex layers (non-planar microstructures) 1812 on top of each other, with each previously grown layer acting as a substrate for each successively grown layer. The layers of the bottom DBR 1806 and top DBR 1810 are typically alternating layers of two different semiconductor materials, such as GaAs and AlGaAs. This structure enhances the fundamental mode operation of the VCSEL due to the increased cavity losses of the higher order spatial modes. Since most of the power in the fundamental mode is near the central axis, this mode is preferably selected as the lasing mode of the cavity. In some applications, it may be desirable for the convex VCSEL 1802 to not include the integrated microlens 1804.

Figure 19 illustrates a concave VCSEL 1902 of the present invention. The concave VCSEL 1902 includes a set of layers comprising a bottom DBR 1906, an active region 1908 and a set of layers comprising a top DBR 1910 having several concave layers 1912 at the top. The concave layers 1912 are grown using the method of the present invention to grow the concave layers (non-planar microstructures) 1912 on top of each other, with each previously grown layer acting as a substrate for each successively grown layer. The layers of the bottom DBR 1906 and top DBR 1910 are typically alternating layers of two different semiconductor materials, such as GaAs and AlGaAs. This structure introduces antiguiding in the VCSEL cavity as well as increased cavity losses for the higher order spatial modes. This makes it behave like an unstable resonator. Unstable resonators have been successfully used in edge-emitters to

achieve high power and single mode operation in broad area laser devices. The present invention contemplates a method to achieve the same results in a VCSEL.

Prior methods for making contact to the p-side for the top emitting VCSEL have usually consisted of an annular ring Au alloy. The present invention contemplates using an ITO "see through" contact that covers the whole emitting surface of the VCSEL and an embodiment of the present invention using such an ITO contact is shown in Figure 20. This type of contact will increase the pumping in the central region of the VCSEL and may further increase the single mode power. Figure 20 illustrates a convex VCSEL 2002 of the present invention with an integrated microlens 2004. Using shadow masked growth, it is also possible to create a distributed DBR mirror with a concentrically variable refractive index. The convex VCSEL 2002 includes a set of layers comprising a bottom DBR 2006, an active region 2008 and a set of layers comprising a top DBR 2010 having several convex layers 2012 in the region adjacent to the microlens 2004. A ring 2014 of Au alloy surrounds a base region of the microlens 2004 and covering the top of the microlens 2004 is an ITO contact 2016. Although only a convex VCSEL is shown in Figure 20, an ITO contact may be used with a concave VCSEL in a similar fashion.

To efficiently couple light from an edge emitting laser into an optical fiber, the beam needs to be conditioned. One way to condition the beam is to use a tapered beam expander that is integrated into the laser and butt couple the optical fiber onto the laser in a lensless system. Figure 21 illustrates an edge emitting laser 2100 which includes a beam expander 2102 which may be formed using the method of the present invention on the surface of the laser 2100. An arrow 2104 indicates the direction of the emitted light beam from an active region 2106.

Another way of conditioning the beam from an edge emitting laser is to use a microlens of the present invention. Figure 22 illustrates an edge emitting laser 2200 which includes a microlens 2202 on one end. Mounted around one end of the laser

2200 is a shadow mask or church 2204 which may be used to form the microlens on the end of the laser 2200. An arrow 2206 indicates the direction of an emitted light beam from an active region 2208.

5 The present invention will now be described by way of example.

### EXAMPLE 1

The microlenses were fabricated using an shadow masked CVD microlens  
10 fabrication process that used an epitaxial mask grown by MOVPE that was then patterned by conventional photolithography and wet etching. The sample was then returned to the reactor for shadow masked growth.

In the present example, the geometrical parameters of the mask had the values  
15 following values shown in Table 1:

Table 1	
Parameter	Value
Spacer layer thickness h	10 $\mu\text{m}$
mask layer thickness d	2.4 $\mu\text{m}$
Mask overhang distance v	10 $\mu\text{m}$
Window width w	5, 10, 15, 20, 25 $\mu\text{m}$

The mask layers used were grown epitaxially using a conventional, horizontal  
20 CVD reactor (Thomas Swan & Co., Ltd.). The mask layers consisted of an  $\text{Al}_{0.92}\text{Ga}_{0.08}\text{As}$  spacer and a GaAs mask layer. Accurate control of the AlAs mole fraction was important for process reproducibility and this was verified using X-ray diffraction and analyzed according the method described by Tanner *et al.*, *Appl. Phys. Lett.*, 59, 2272 (1991). The mask was patterned by photolithography and a two step

etch. The lens patterns were first etched into the GaAs mask layer using a 1:1:20 solution of  $\text{NH}_4\text{OH}:\text{H}_2\text{O}_2:\text{H}_2\text{O}$  at room temperature. A selective etch solution of  $\text{KI}:\text{I}_2:\text{H}_3\text{PO}_4$  ( $\text{pH} < 2$ ) was then used to transfer the pattern into the  $\text{Al}_{0.92}\text{Ga}_{0.08}\text{As}$  spacer and to undercut the GaAs mask by approximately  $10\text{ }\mu\text{m}$ . The etched structure was then  
5 returned to the CVD reactor for shadow masked growth. In the present example,  $4\text{ }\mu\text{m}$  of GaAs was grown at  $500\text{ }\text{\AA}/\text{min}$  (this was the growth rate on top of the mask layer, within the masked apertures the growth rate was lower) at  $725^\circ\text{C}$  and with a V/III ratio of 50. The sources used were arsine, trimethylgallium and trimethyl aluminum. Following shadow masked growth, the mask layers were removed by a lift-off process  
10 where the  $\text{Al}_{0.92}\text{Ga}_{0.08}\text{As}$  spacer layer was etched in a 1:10  $\text{HF}:\text{H}_2\text{O}$  solution, by volume, for 10 hours. The high selectivity of this etch allowed the underlying GaAs to be continuously exposed to the etch for up to 48 hours without surface degradation.

Figure 2 is a scanning electron microscope (SEM) image of part of a microlens  
15 array after shadow masked growth with the mask still in place. Figure 3 shows the array, with lens diameters between  $32$  and  $78\text{ }\mu\text{m}$ , after the mask has been removed. This perspective view shows clearly the absence of facetting on these lenses. Also, as the microlens diameter exceeds  $60\text{ }\mu\text{m}$ , the lens profile flattens at the center.

20 Close examination of a cross section of the smallest lens, shown in Figure 4, after shadow masked growth confirms that facetting is completely absent on the lens. However, facetting is apparent on the overhanging GaAs mask. When a thick GaAs mask layer is used, or a thick lens is grown, this facetting may distort the circular mask pattern and cause the lens to become astigmatic. In one direction, the mask growth is  
25 dominated by fast growing  $(1\ 1\ 1)_\text{A}$  planes, while in the orthogonal direction the mask growth is dominated by slower growing  $(1\ 1\ 1)_\text{B}$  planes. Thus, as growth proceeds, a circular mask pattern will tend to become more faceted and less circular, causing the underlying lens shape to become elliptical and, therefore, astigmatic. In the experiments of the present example, growths with the  $2\text{ }\mu\text{m}$  GaAs mask gave circular lenses while  
30 lenses grown using the  $4\text{ }\mu\text{m}$  mask showed a significant astigmatism, see Figure 5.

Surface profilometry of the lenses further confirmed the smooth facet free profile and allowed for the measurement of the physical shape of the microlenses. Figure 6 shows the profilometer measurements for the microlenses.

5

The surface profile of small aperture lenses may be accurately fitted by a conical section. For example, a correlation coefficient of 0.99 was calculated for a lens diameter of 32  $\mu\text{m}$ . for larger lenses having an aperture greater than 60  $\mu\text{m}$ , the center of the lenses was flatter and resulted in a reduced correlation coefficient. For example, a  
10 correlation coefficient of 0.85 was calculated for a lens diameter of 78  $\mu\text{m}$ . This flattening also appears in the simulation of shadow masked growth and occurs when the mask opening becomes large enough such that the growth reverts to conventional, unmasked, growth. Figure 7 shows the simulated growth rate as of position for two of the aperture widths used in the present example and for a constant spacer height of 10  
15  $\mu\text{m}$ . The fit between the actual and simulated profile is excellent both for the small, spherical, and large, non-spherical, lenses.

The focal lengths of the microlenses was measured using the set-up shown in Figure 8. A VCSEL 802 generates a laser beam 804 which passes through a collimating  
20 lens 806, a microlens array 808, a 20X objective lens 810 and is imaged on a CCD camera 812. The substrates were prepared by polishing the backside to reduce scatter. Using 950 nm light from the collimated VCSEL the lens surface was imaged on a CCD camera. The 20X objective lens was then translated to image the focal point. This translation was performed on 1  $\mu\text{m}$  resolution translation stage and repeated several  
25 times to ensure precision.

A speckle generator was used to diffuse the VCSEL light when imaging the lens surface, while the undisturbed beam was use to image the microlens focal point. This allowed the same wavelength of light to be used for imaging the lens surface and for  
30 locating the focal point of the lens. For focal length measurements, the lens surface

location was defined as shown in Figure 8 and the focal point was assumed to be located at the minimum beam waist in front of the microlens. The accuracy of the focal length measurement was estimated to be approximately  $\pm 10 \mu\text{m}$ . The measured focal lengths and those calculated using the simple spherical lens approximation (described below) are plotted in the graph of Figure 9.

A spherical approximation of the lenses was used for initial design of the microlens arrays. The focal length  $f$  was derived from the aperture  $\Phi$ , the sagitta  $s$ , the effective index  $n$ , and the radius of curvature  $r$ .

The spherical approximation is valid for lens focal lengths up to  $80 \mu\text{m}$  and for apertures less than  $60 \mu\text{m}$ . However, for larger apertures where the lens profile flattens, the approximation is no longer valid. The focal lengths measured for different lenses within the array are listed in Table 2 below. The standard deviations of the focal lengths for 10 lenses of each size was consistently below the experimental error ( $\pm 10 \mu\text{m}$ ) of the measurement for each lens, indicating excellent uniformity of microlens shape across the array.

Table 2					
Diameter	Sagitta	Focal Length Theoretical	Focal Length Experimental	FWHM Theoretical	FWHM Experimental
32	1.21	42	39	1.29	1.33
45	1.77	57	52	1.24	1.25
54	1.92	76	72	1.37	1.37
64	2.00	102	132	1.56	1.57
78	2.17	139	152	1.74	1.78

The quality of the lens may be further assessed by measuring the intensity distribution at the focal point, which in a well behaved lens should be described by an Airy function:  $I_x = I_0[2J_1(x)/x]^2$ , with a diffraction limited spot size of  $2.44 \lambda f/\Phi$ , where

$\lambda$  is the wavelength,  $J_1$  is the first order Bessel function,  $x$  is the distance and  $I_0$  is the peak intensity. Close examination of this intensity distribution, shown in Figure 10, shows a distinct Airy pattern. Measurements of the FWHM of the intensity profile at the beam waist are also listed in table 2 above, and show that all the microlenses, including the larger lenses, are operating at the diffraction limit.

### EXAMPLE 2

Silicon nitride was deposited using a plasma enhanced CVD (PECVD) technique under a shadow mask as shown in Figure 11. The silicon nitride deposited through a shadow mask 1102 had a smooth variation in thickness from a thin end 1104 to a thick end 1106. This smooth variation in thickness indicates that a microlens of the present invention could be grown using silicon nitride.

### EXAMPLE 3

A modified shadow mask 2302 as shown in Figure 23 was used to deposit a concave layer 2304 on a substrate 2306. A graph of profilometer measurement of the growth using the modified shadow mask of Figure 23 is shown in Figure 12. The ordinate of the graph in Figure 12 is the height with  $1 \mu\text{m}/\text{division}$  and the abscissa is the distance with  $20 \mu\text{m}/\text{division}$ . The above experiment and the results shown in Figure 12 evidence that the method of the present invention may be used to fabricate concave mirrors. Such mirrors may be used in optical systems such as wavefront measurement, unstable resonator VCSELs, or imaging optics, such as CCDs.



#### EXAMPLE 4

Using a deep reactive ion etch (RIE), a micromachined mask was produced by etching a large aperture from the bottom of a silicon wafer, and aligning and etching a smaller hole that etched through to the bottom hole. The etch depth through the bottom aperture defines the maximum "spacer height", but the spacer height may be reduced by lapping and polishing. Shadow masks with window widths from 5 to 200  $\mu\text{m}$  and spacer heights from 10 to 300  $\mu\text{m}$  have been produced. Previously, silicon masks have been fabricated by wet chemical etching and the mask shapes are limited by facetting produced in these etches. The deep RIE process allows the sidewall feature to be much sharper, approximately 90 degrees, compared with conventional KOH etching which produces sidewalls tilted at 57.4 degrees. The sharper sidewall of the mask also allows for much smaller features to be produced. An SEM of the deep RIE etched mask is shown in Figure 13.

15

In general, epitaxial grown masks have had certain limitations when compared to the above-described micromachined mask. For example, epitaxial masks are deposited and used for only one shadow masked growth and epitaxy thicker than 10 microns is impractical and expensive for such a purpose. The 10 micron limit on the spacer layer also produces features with flattened centers for window width/spacer height ratios of around 10/1. In contrast, the micromachined mask of the present invention is reusable and saves time and expense.

20

Although the present invention has been fully described in conjunction with the preferred embodiment thereof with reference to the accompanying drawings, it is to be understood that various changes and modifications may be apparent to those skilled in the art. Such changes and modifications are to be understood as included within the scope of the present invention as defined by the appended claims, unless they depart therefrom.

25

**WHAT IS CLAIMED IS:**

1. A microlens having a focal length of 50  $\mu\text{m}$  or less.
2. The microlens of claim 1, wherein said microlens has a focal length of 40  $\mu\text{m}$  or less.
3. The microlens of claim 1, wherein said microlens has a focal length of 30  $\mu\text{m}$  or less.
4. The microlens of claim 1, wherein said microlens has a diameter of 30  $\mu\text{m}$  or less.
5. The microlens of claim 1, wherein said microlens is astigmatic.
6. The microlens of claim 1, wherein said microlens comprises a semiconductor material.
7. The microlens of claim 1, wherein said microlens comprises a group III-V semiconductor material.
8. The microlens of claim 1, wherein said microlens comprises GaAs.

9. An array of microlenses mounted on a substrate, each of said microlenses having a focal length of 50  $\mu\text{m}$  or less.
10. The array of claim 9, wherein each of said microlenses has a focal length of 40  $\mu\text{m}$  or less.
11. The array of claim 9, wherein said of said microlenses has a focal length of 30  $\mu\text{m}$  or less.
12. The array of claim 9, wherein each of said microlenses has a diameter of 30  $\mu\text{m}$  or less.
13. The array of claim 9, wherein each of said microlenses comprises a semiconductor material.
14. The array of claim 9, wherein each of said microlenses comprises a group III-V semiconductor material.
15. The array of claim 9, wherein each of said microlenses comprises GaAs.
16. A non-planar microstructure comprising a first layer comprising at least one first CVD material selected from the group consisting of: a rapidly oxidizing CVD material and an oxygen-containing CVD material; and a covering layer comprising at least one

second CVD material selected from the group consisting of: a slowly oxidizing CVD material and a substantially oxygen free CVD material, said covering layer substantially covering a top surface of said first layer.

17. The non-planar microstructure of claim 16, wherein said covering layer comprises a group III-V semiconductor material.

18. The non-planar microstructure of claim 16, wherein said covering layer comprises GaAs.

19. A method for making at least one non-planar microstructure comprising the steps of:

depositing at least one CVD material through at least one window of a mask layer and an opening in a spacer layer beneath said mask layer to form a non-planar microstructure on a substrate, said mask layer being separated from said substrate by said spacer layer and overhanging said spacer layer; and

removing said mask layer and said spacer layer from said substrate by applying a removal solution containing HF to said spacer layer to form a non-planar microstructure.

20. The method of claim 19, wherein said removal step comprises applying an aqueous solution of HF having an HF:H<sub>2</sub>O ratio of between 1:20 and 1:5.

21. The method of claim 19, wherein said removal step comprises applying an aqueous solution of HF having an HF:H<sub>2</sub>O ratio of about 1:10.
22. The method of claim 19, wherein said spacer layer has an Al concentration of at least about 70%.
23. The method of claim 19, wherein said spacer layer has an Al concentration of at least about 90%.
24. The method of claim 19, wherein said mask comprises GaAs.
25. The method of claim 19, wherein said non-planar microstructure comprises a microlens.
26. The method of claim 19, wherein said at least one non-planar microstructure comprises an array of microstructures on a substrate and said method comprises the steps of depositing said CVD material on said substrate through an array of mask layer windows and spacer openings to form an array of non-planar microstructures.
27. The method of claim 26, wherein said array of microstructures comprises an array of microlenses.

28. The method of claim 19, wherein said non-planar microstructure comprises a semiconductor material.
29. The method of claim 19, wherein said non-planar microstructure comprises a group III-V semiconductor material.
30. The method of claim 19, wherein said non-planar microstructure comprises GaAs.
31. The method of claim 19, wherein said non-planar microstructure comprises SiN.
32. The method of claim 19, wherein said non-planar microstructure comprises a first layer comprising at least one first CVD material selected from the group consisting of: a rapidly oxidizing CVD material and an oxygen-containing CVD material; and a covering layer comprising at least one second CVD material selected from the group consisting of: a slowly oxidizing CVD material and a substantially oxygen free CVD material, said covering layer substantially covering a top surface of said first layer.
33. The method of claim 32, wherein said covering layer comprises GaAs.
34. The method of claim 19, wherein said deposition step is carried out by chemical vapor deposition.

35. The method of claim 19, further comprising the steps of:
- depositing said spacer layer on said substrate;
  - depositing said mask layer on said spacer layer;
  - etching said at least one window in said mask layer;
  - etching said at least one opening in said spacer so that said mask layer overhangs said opening; and
  - cleaning said mask layer, said spacer layer and said substrate to remove impurities therefrom.
36. The method of claim 19, wherein said CVD material comprises the same material as said substrate.
37. The method of claim 19, wherein said CVD material comprises a different material than said substrate.
38. The method of claim 19, wherein said substrate is a top layer of a VCSEL.
39. The method of claim 38, wherein said non-planar microstructure comprises a microlens.
40. The method of claim 39, wherein said top layer comprises a convex layer.

41. The method of claim 38, wherein said non-planar microstructure comprises a convex layer.
42. The method of claim 41, wherein said top layer comprises a convex layer.
43. The method of claim 38, wherein said non-planar microstructure comprises a concave layer.
44. The method of claim 43 wherein said top layer comprises a concave layer.
45. A vertical cavity surface emitting laser structure comprising:  
a vertical cavity surface emitting laser including at least one non-planar microstructure.
46. The laser structure of claim 45, wherein said at least one non-planar microstructure comprises a layer located at one end of said laser structure.
47. The laser structure of claim 45, wherein said laser structure includes at least two non-planar microstructures; said at least two non-planar microstructures comprise at least two adjacent layers; and said two adjacent layers are located at one end of said laser structure.



48. The laser structure of claim 47, wherein each of said two adjacent layers is convex.

49. The laser structure of claim 48, wherein each of said two adjacent layers has a different curvature.

50. The laser structure of claim 47, wherein each of said two adjacent layers is concave.

51. The laser structure of claim 50, wherein each of said two adjacent layers has a different curvature.

52. The laser structure of claim 47, wherein one of said adjacent layers comprises a convex layer and at least one of said adjacent layers comprises a concave layer.

53. The laser structure of claim 45, wherein said non-planar structure comprises at least one interior layer of said laser structure.

54. The laser structure of claim 45, wherein said laser structure includes at least two non-planar microstructures; said at least two non-planar microstructures comprise at least two adjacent layers; and said two adjacent layers are interior layers of said laser structure.

55. The laser structure of claim 54, wherein each of said two adjacent layers is convex.

56. The laser structure of claim 55, wherein each of said two adjacent layers has a different curvature.

57. The laser structure of claim 54, wherein each of said two adjacent layers is concave.

58. The laser structure of claim 57, wherein each of said two adjacent layers has a different curvature.

59. The laser structure of claim 54, wherein one of said adjacent layers comprises a convex layer and at least one of said adjacent layers comprises a concave layer.

60. The laser structure of claim 45, wherein said at least one non-planar microstructure comprises a microlens.

61. The laser structure of claim 60, wherein said microlens has an emitting surface and said laser structure further comprises an ITO contact mounted on and covering substantially all of said emitting surface.

62. The laser structure of claim 61, further comprising a ring comprising Au which annularly surround a base region of said microlens
63. The laser structure of claim 60, wherein said microlens comprises a semiconductor material.
64. The laser structure of claim 60, wherein said microlens comprises a group III-V semiconductor material.
65. The laser structure of claim 60, wherein said microlens comprises GaAs.
66. The laser structure of claim 45, wherein said at least one non-planar microstructure comprises at least one convex layer.
67. The laser structure of claim 66, wherein said laser structure further comprises a microlens mounted on said at least one convex layer.
68. The laser structure of claim 45, wherein said at least one non-planar microstructure comprises at least one concave layer.
69. A method for making at least one non-planar microstructure comprising the steps of:

depositing at least one CVD material through at least one window of a shadow mask to form a non-planar microstructure on a substrate, said shadow mask including an overhanging region which overhangs a spacer region which is directly bonded to said substrate.

70. The method of claim 69, further comprising the step of:  
removing said shadow mask from said substrate.

71. The method of claim 69, wherein said shadow mask comprises Si.

72. The method of claim 71, wherein said shadow mask has an exterior covering of  $\text{SiO}_2$ .

73. The method of claim 69, wherein said non-planar structure is a beam expander of an edge emitting laser.

74. The method of claim 69, wherein said substrate is an edge emitting laser and said non-planar structure comprises a microlens.

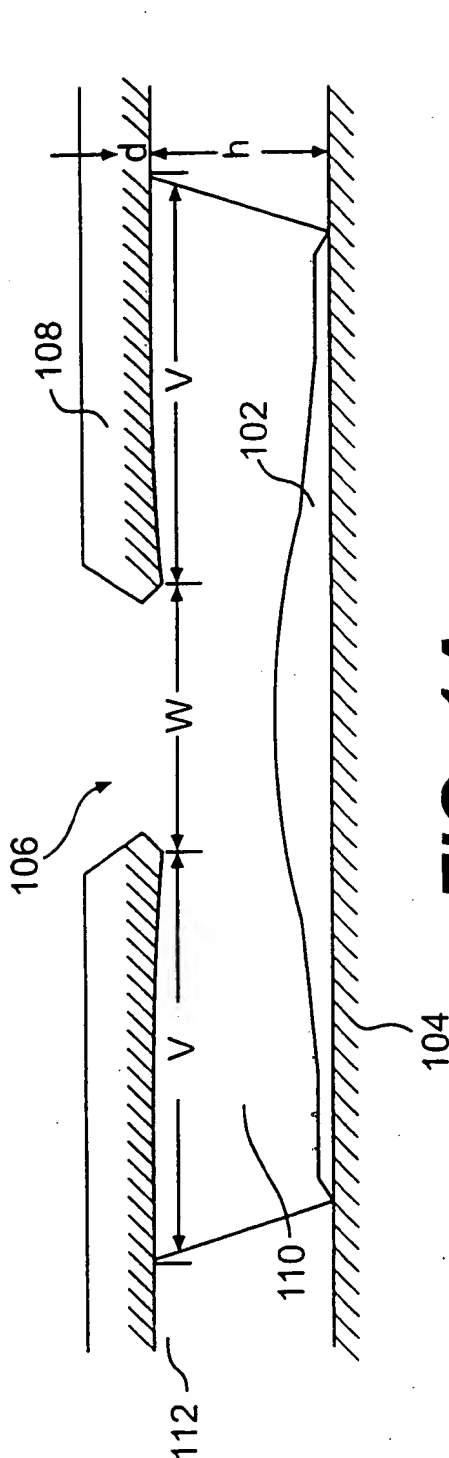


FIG. 1A

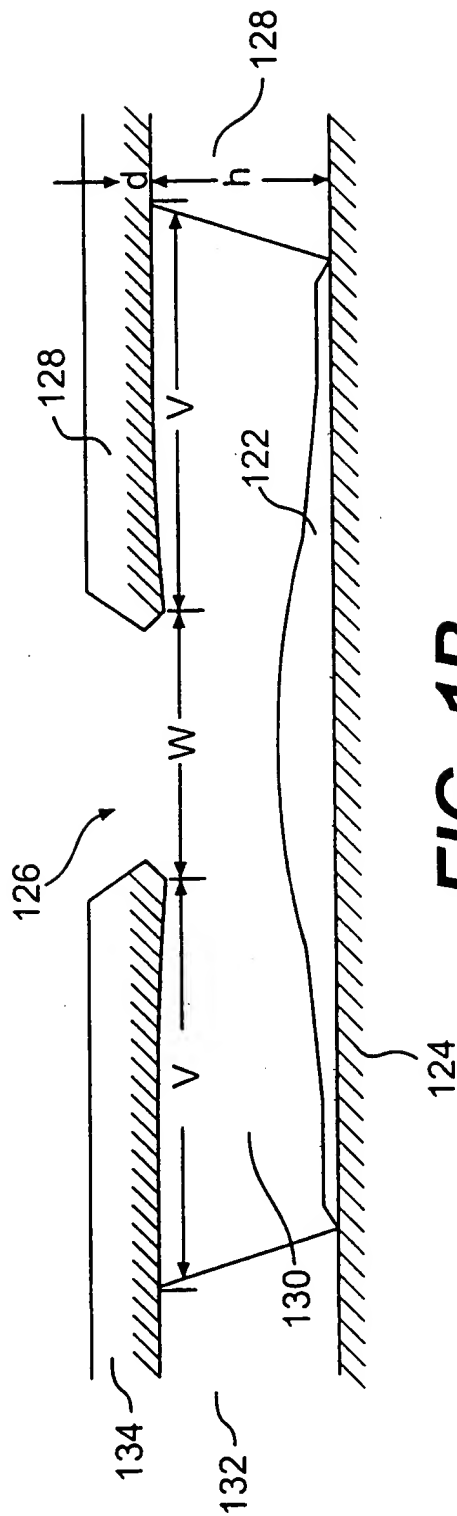
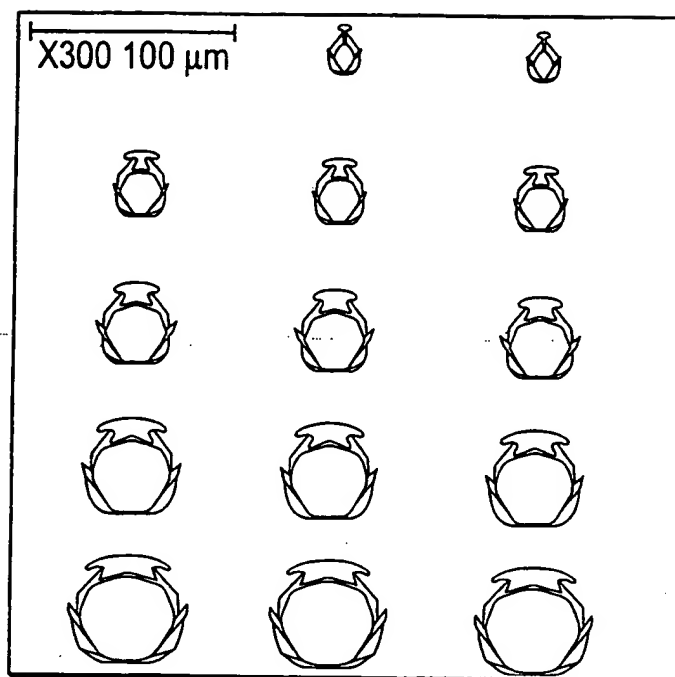
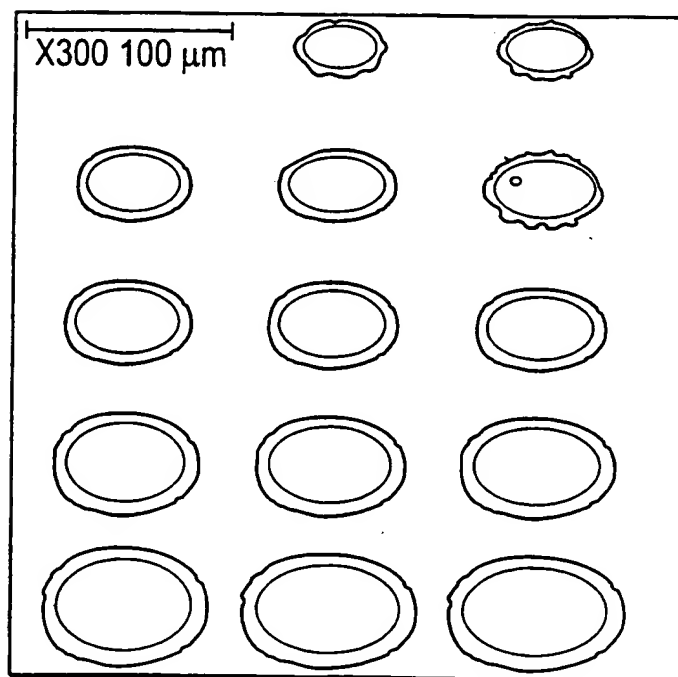
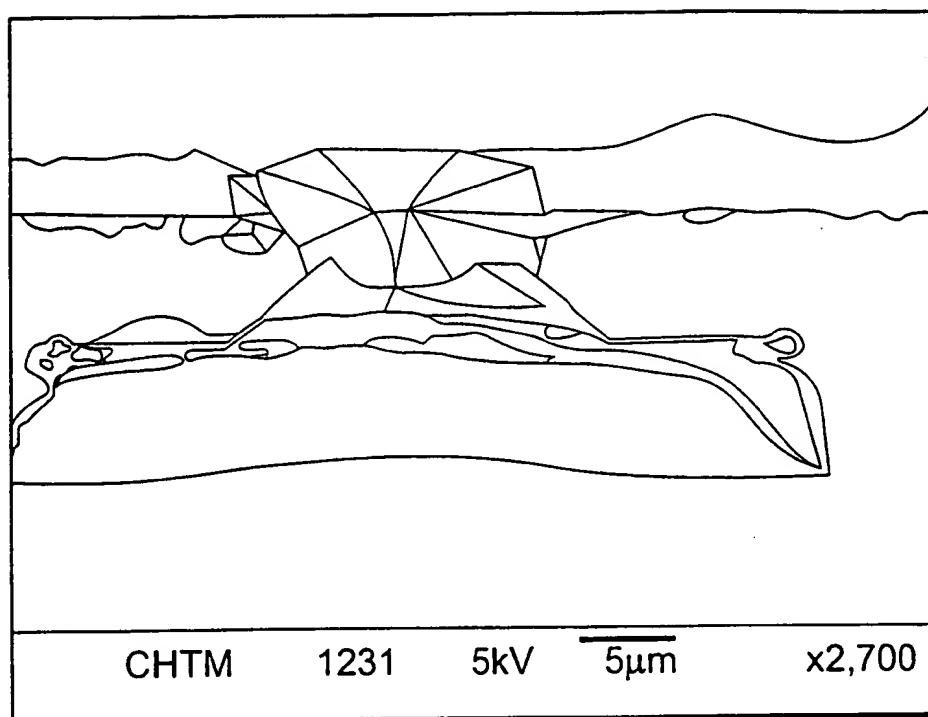
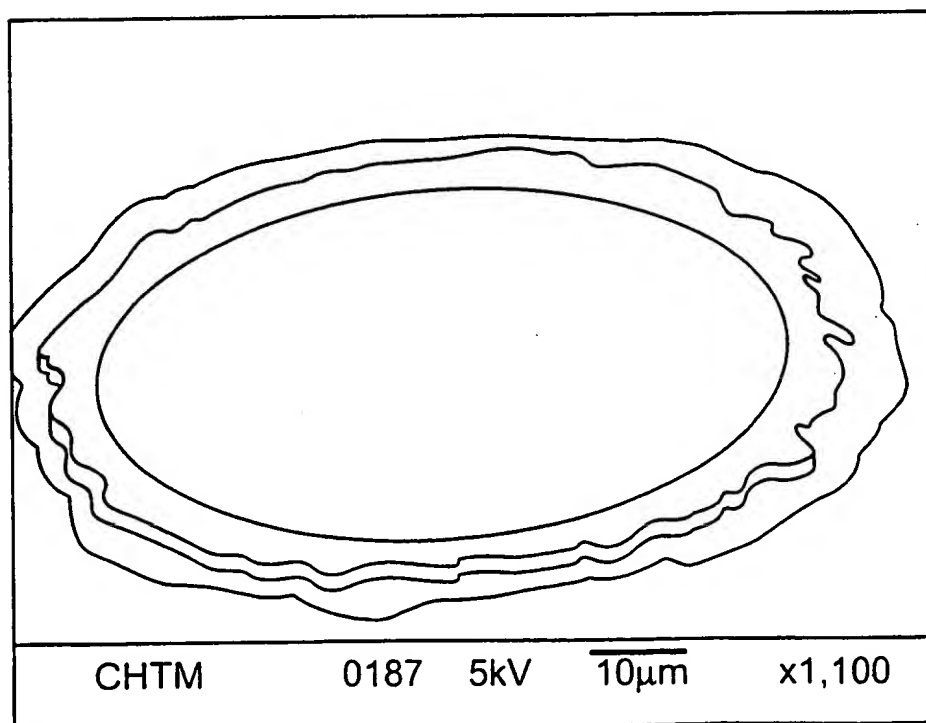


FIG. 1B

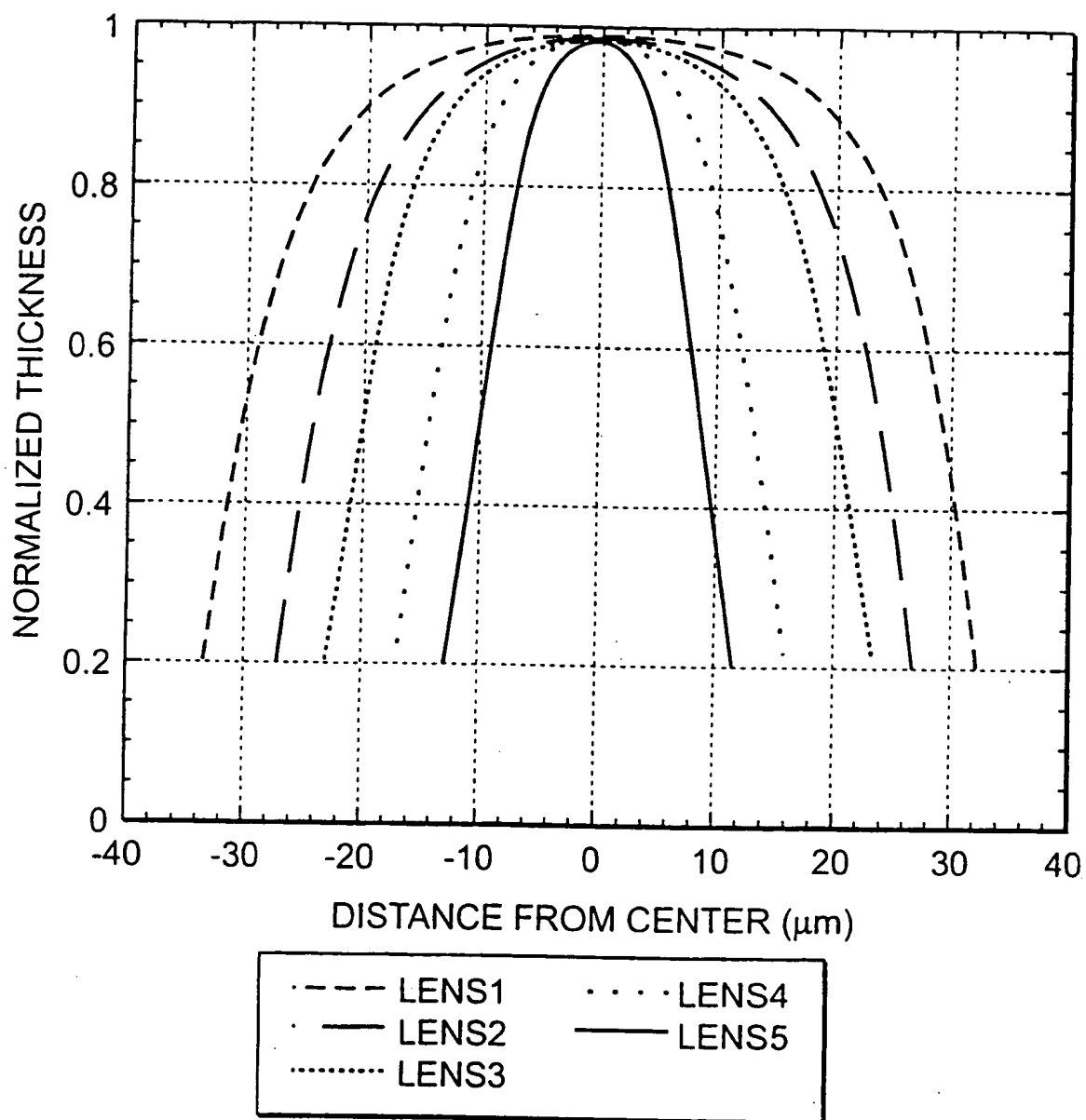
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**FIG. 2****FIG. 3**

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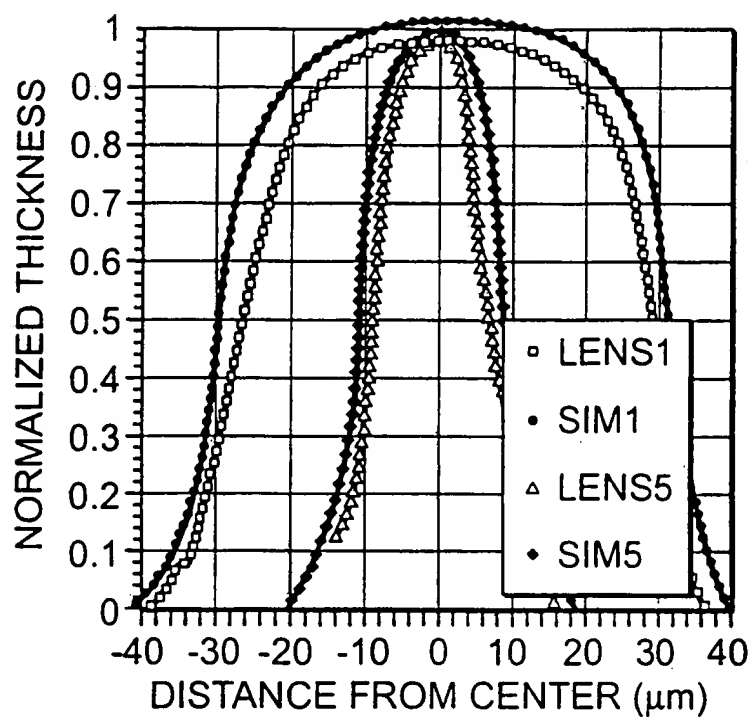
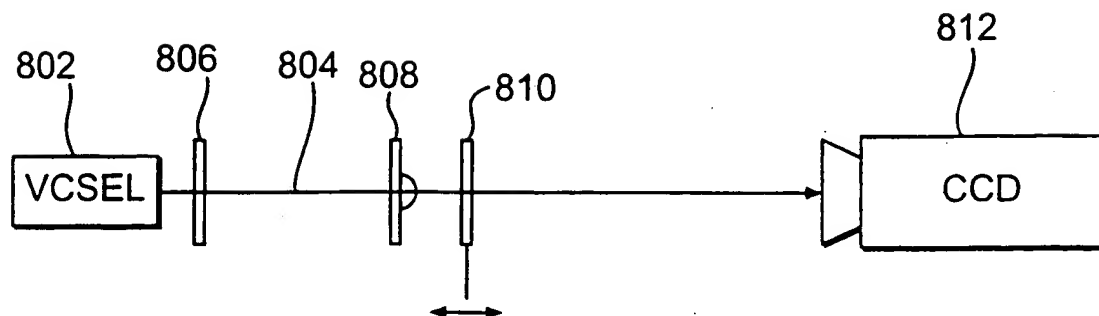
**FIG. 4****FIG. 5**

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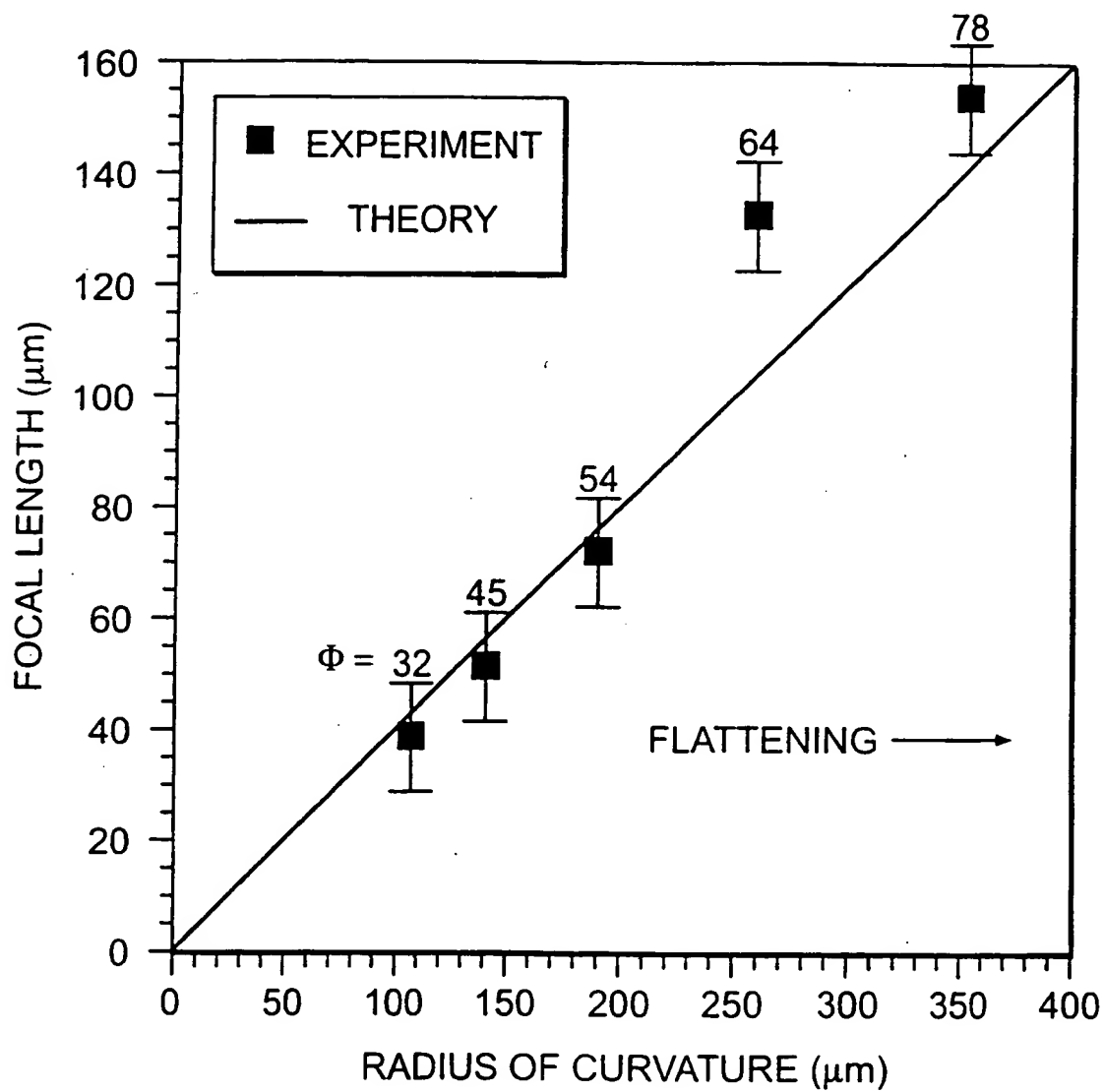
**FIG. 6**

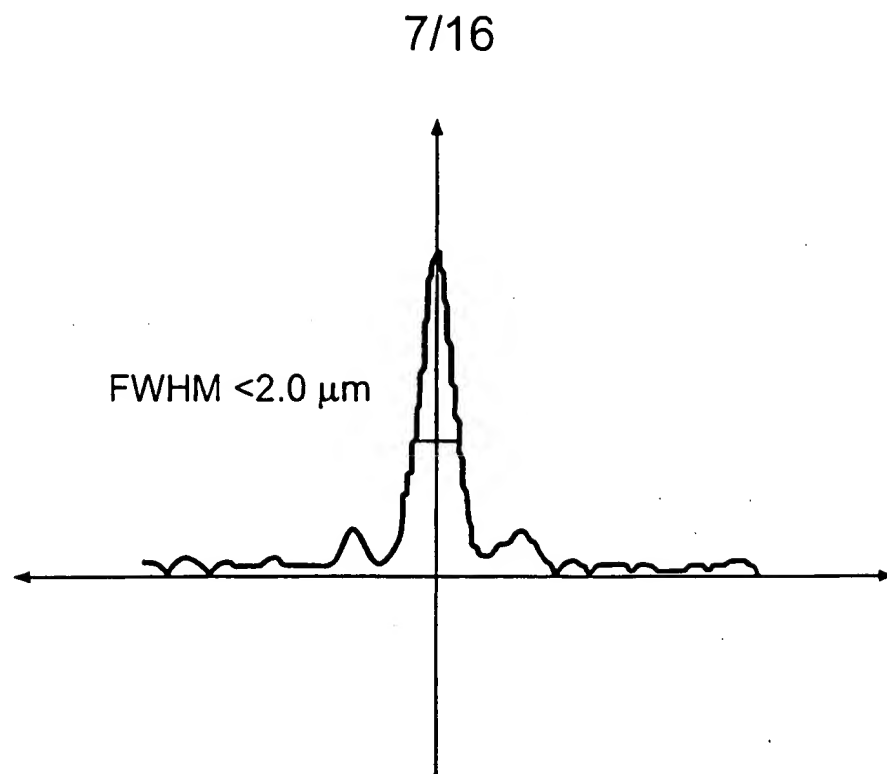
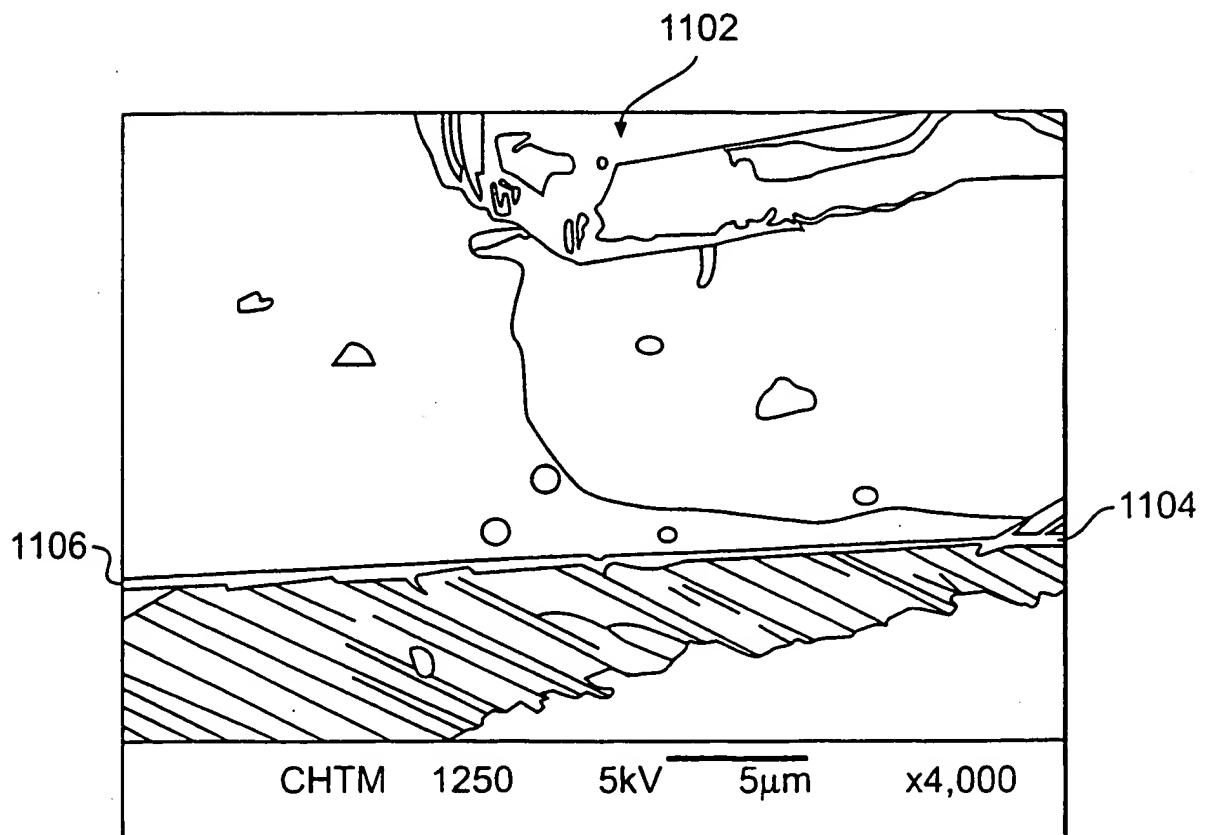


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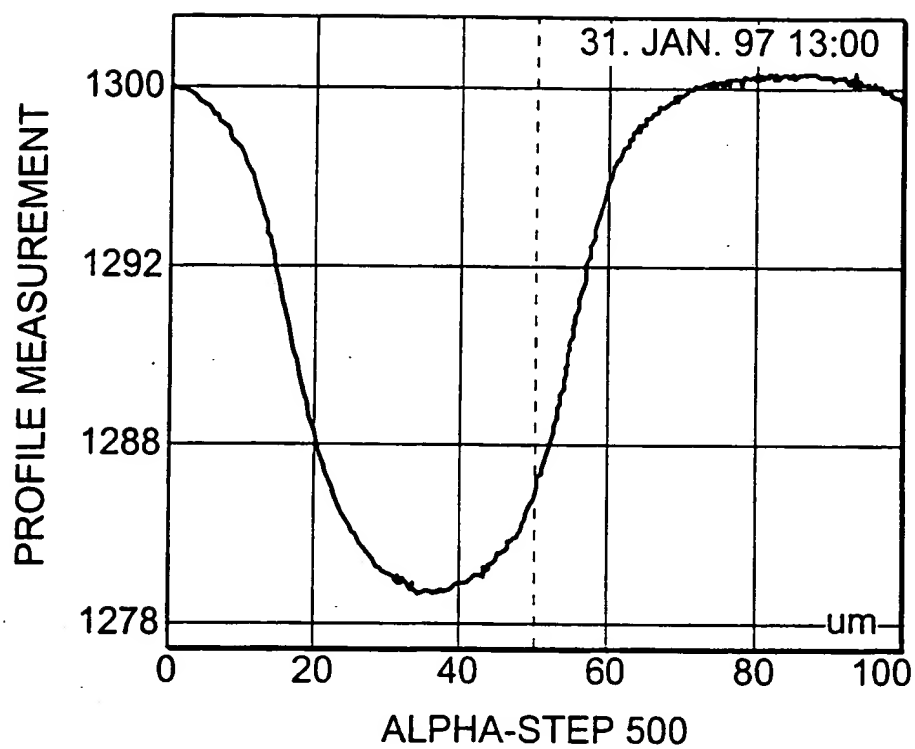
**FIG. 7****FIG. 8**

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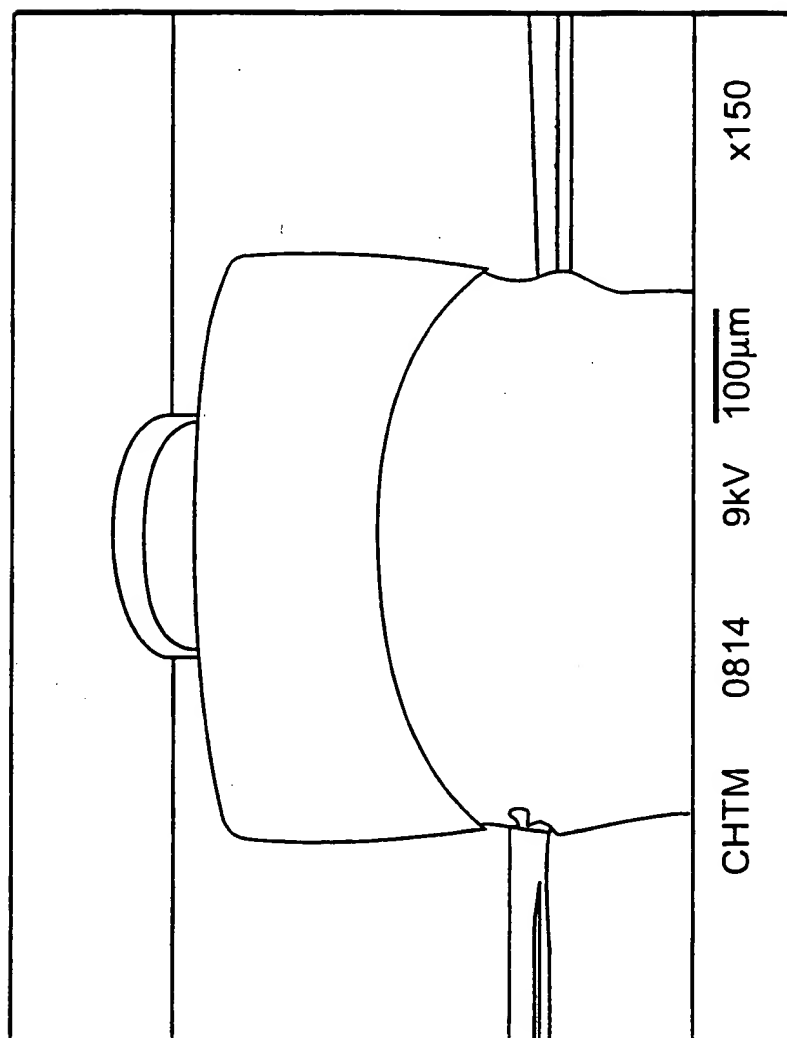
**FIG. 9**

**FIG. 10****FIG. 11**

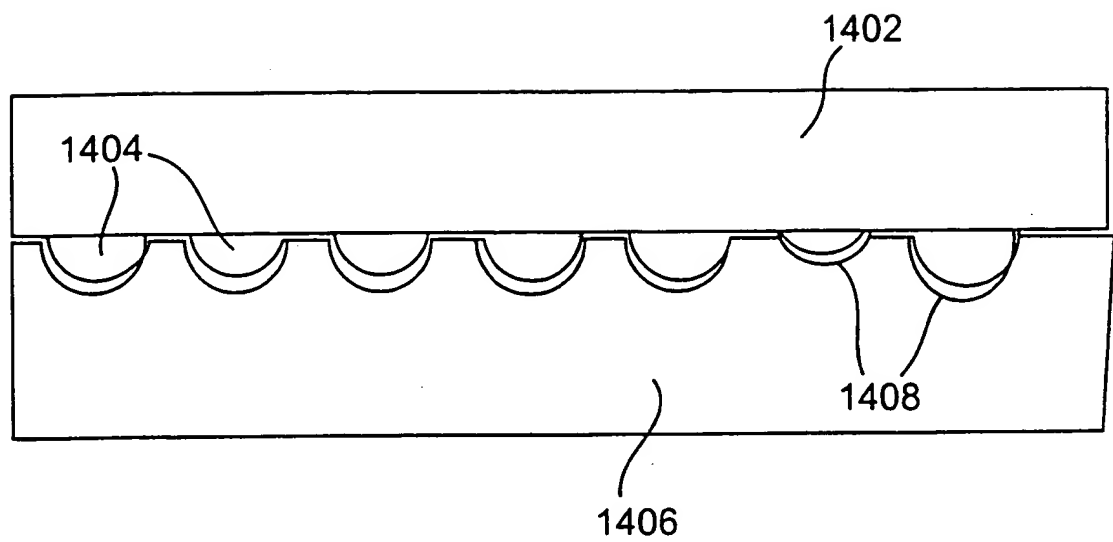
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**FIG. 12**

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**FIG. 13**

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**FIG. 14**

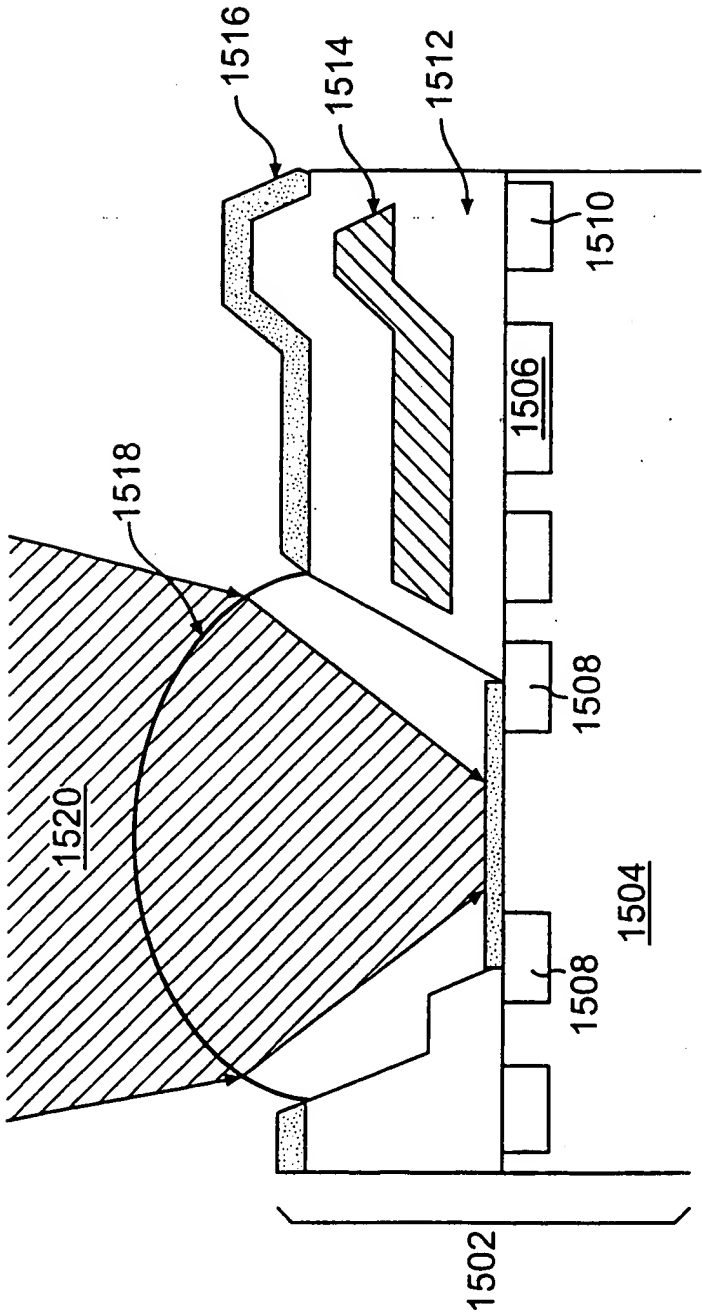
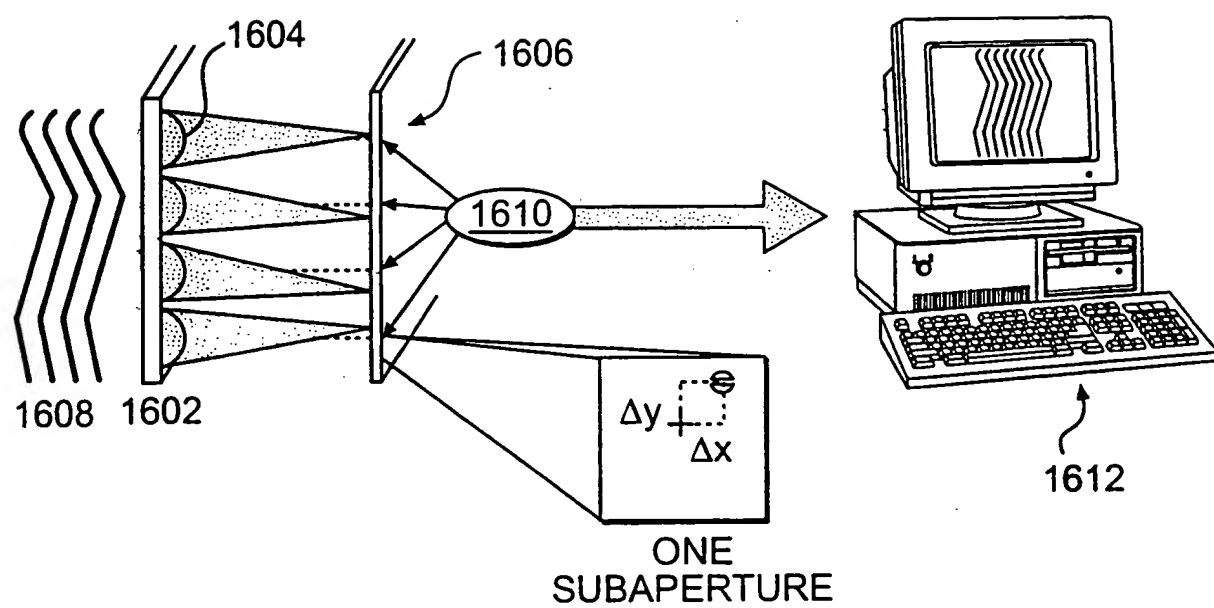


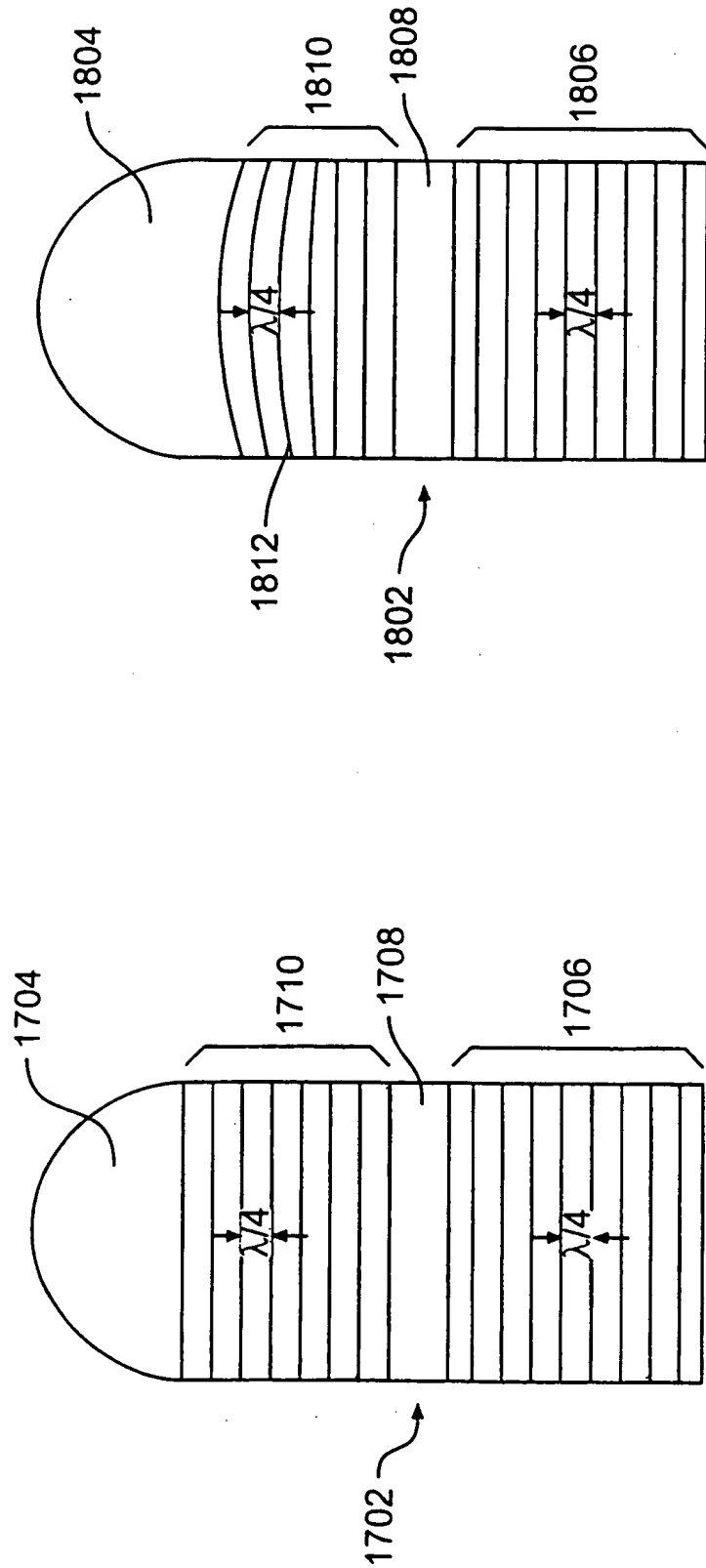
FIG. 15

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**FIG. 16**

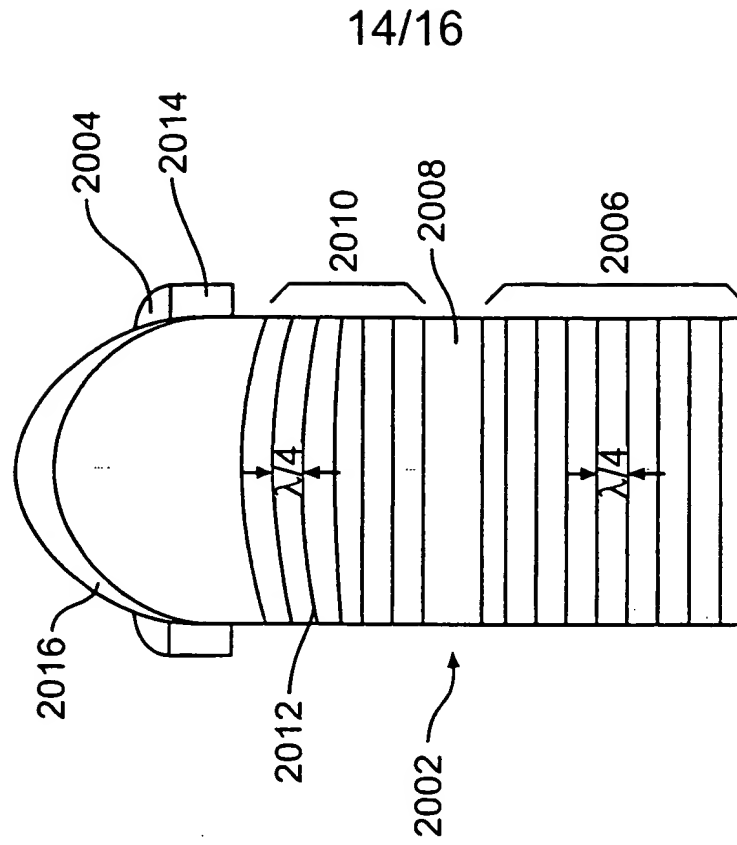


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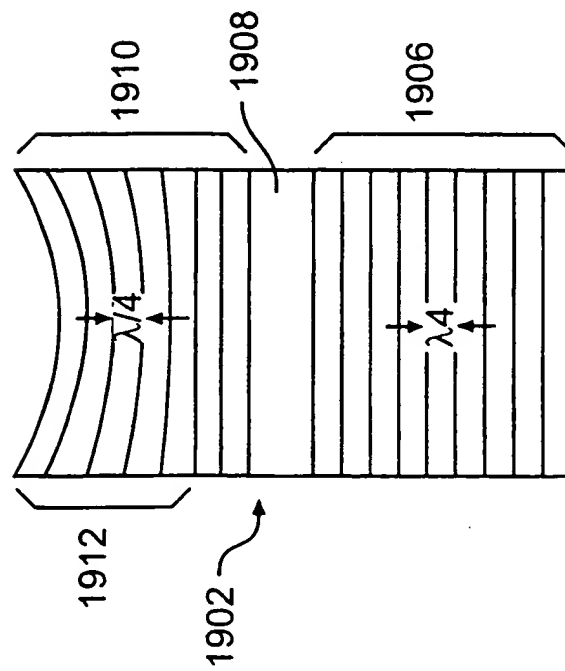


**FIG. 18**

**FIG. 17**

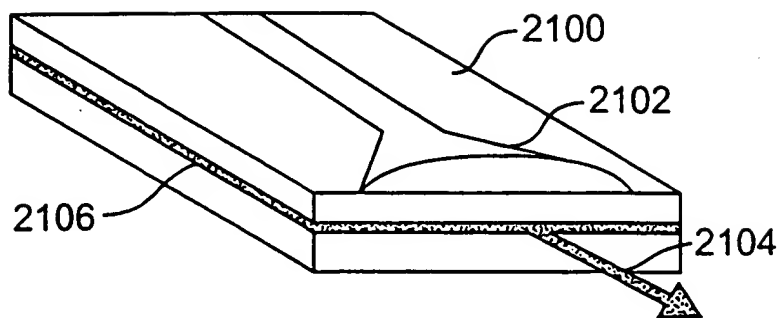
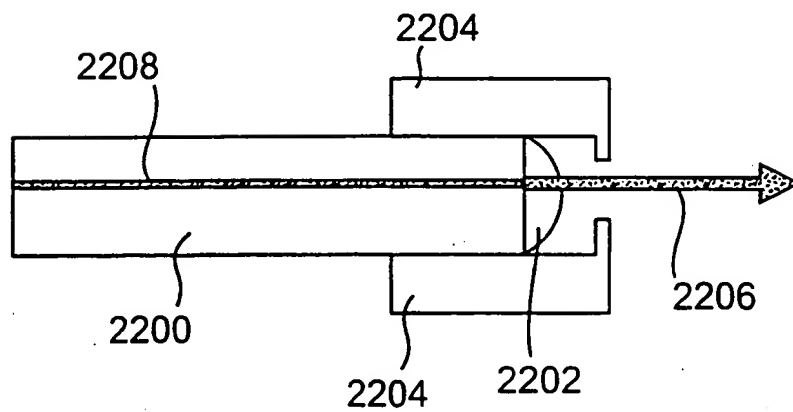


**FIG. 20**

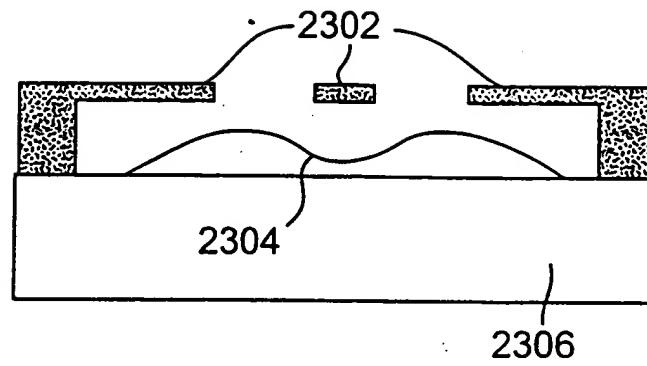


**FIG. 19**

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**FIG. 21****FIG. 22**

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**FIG. 23**

## INTERNATIONAL SEARCH REPORT

 International application No.  
 PCT/US99/08279

## A. CLASSIFICATION OF SUBJECT MATTER

IPC(6) : Please See Extra Sheet.

US CL : Please See Extra Sheet.

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : Please See Extra Sheet.

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)


Please See Extra Sheet.

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X ---	ARMOR et al. Experimental and Theoretical Analysis of Shadow-Masked Growth Using Organometallic Vapor Phase Epitaxy: The reason for the Absence of Faceting. J. Appl. Phys. January 1995, Vol. 77, No. 2, pages 873-878, especially pages 873-876.	16-44, 69-74 ----
Y		1-15, 45-68
X ---	SANDUSKY et al. 'Characterization of Non-Planar Shadow Masked Al(x)Ga(1-x)AS Structures by Confocal Photoluminescence Microscopy.' In Proceedings of the IEEE Lasers and Electro-Optics Society 7th Annual Meeting, IEEE, 1994, Vol. 2, pages 5-6	16-44, 69-74 ---
Y		1-15, 45-68

☒ Further documents are listed in the continuation of Box C.
 ☐ See patent family annex.

* Special categories of cited documents:	*T	later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
*A		document defining the general state of the art which is not considered to be of particular relevance
*E		earlier document published on or after the international filing date
*L		document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
*O		document referring to an oral disclosure, use, exhibition or other means
*P		document published prior to the international filing date but later than the priority date claimed
	*X	document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
	*Y	document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
	*A	document member of the same patent family

Date of the actual completion of the international search 16 JULY 1999	Date of mailing of the international search report 03 SEP 1999
Name and mailing address of the ISA/US Commissioner of Patents and Trademarks Box PCT Washington, D.C. 20231	Authorized officer GEORGIA Y. EPPS 

## INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US99/08279

## C (Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	SANKUR et al. 'Fabrication of Refractive Microlens Arrays.' In: Micro-Optics/Micromechanics and Laser Scanning and Shaping, Topical Conference, Edited by E. Motamedi & L. Beiser, SPIE-The International Society for Optical Engineering, (1995) Vol. 2383, pages 179-183.	1-15
Y	US 4,950,622 A (KWON et al) 21 August 1990 (21/08/90), see entire document, especially column 1, line 53-column 4, line 34.	45-68
X	US 5,701,373 A (T. OLESKEVICH) 23 December 1997 (23/12/97), see entire document, especially column 5, lines 16-35.	1-4
X,P	PEAKE et al. GaAs Microlens Arrays Grown by Shadow Masked MOVPE, J. Elec. Matl. (1997) Vol. 26, No. 10, see pages 1134-1136	1-44, 69-74
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# INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US99/08279

## A. CLASSIFICATION OF SUBJECT MATTER:

IPC (6):

B05D 1/32; B29D 11/00; G02B 27/10, 6/32; G02F 1/3333; H10L 29/20, 31/0232; H10S 3/08

## A. CLASSIFICATION OF SUBJECT MATTER:

US CL :

216/26; 257/615; 349/95; 359/620; 372/101, 108; 385/35; 427/282; 438/944

## B. FIELDS SEARCHED

Minimum documentation searched

Classification System: U.S.

216/2, 12, 26; 257/431, 432, 615; 349/56, 84, 95; 359/619, 620, 621; 372/44, 45, 46, 50, 96, 99, 101, 108; 385/33, 34, 35; 427/272, 282; 438/29, 36, 739, 944

## B. FIELDS SEARCHED

Electronic data bases consulted (Name of data base and where practicable terms used):

APS and NPL Online Journals (IEEE and AIP)

search terms: metalorganic vapor phase epitaxy [MOVPE]; reactive ion etching [RIE]; microlens; microlens array; vertical cavity surface emitting laser [VCSEL]; non-planar microstructures; MOVPE growth; shadow masked metalorganic vapor phase epitaxial growth [SMMG]



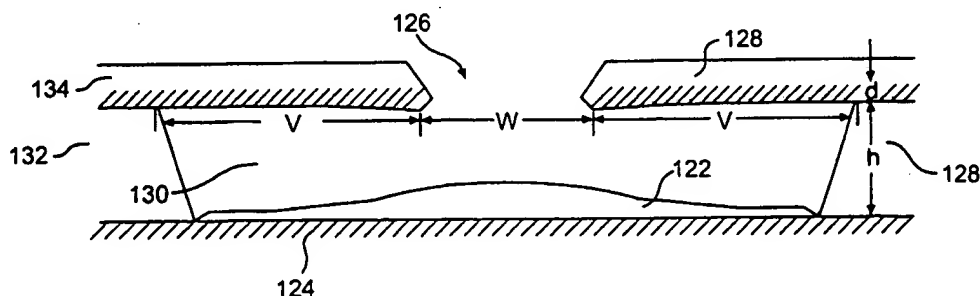




## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification <sup>6</sup> : <b>B05D 1/32, B29D 11/00, G02B 27/10, 6/32, G02F 1/3333, H10L 29/20, 31/0232, H10S 3/08</b></p>	<p><b>A1</b></p>	<p>(11) International Publication Number: <b>WO 99/52647</b></p> <p>(43) International Publication Date: 21 October 1999 (21.10.99)</p>
<p>(21) International Application Number: PCT/US99/08279</p> <p>(22) International Filing Date: 15 April 1999 (15.04.99)</p> <p>(30) Priority Data: 60/082,180 16 April 1998 (16.04.98) US</p> <p>(71) Applicant: THE UNIVERSITY OF NEW MEXICO [US/US]; Qunitana, Annabelle, Patent Administration Office, Hokona Hall, Room 357, 2500 Campus Boulevard, N.E., Albuquerque, NM 87131 (US).</p> <p>(72) Inventors: PEAKE, Gregory; 241 Morningside N.E., Albuquerque, NM 87108 (US). HERSEE, Stephen; 241 Morningside N.E., Albuquerque, NM 87108 (US). SARAGAN, Andrew; Apartment 1076, 220 Western Skies Drive, S.E., Albuquerque, NM 87123 (US).</p> <p>(74) Agent: JAGTIANI, Ajay; 10379-B Democracy Lane, Fairfax, VA 22030 (US).</p>	<p>(81) Designated States: CA, JP, MX, European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE).</p> <p><b>Published</b> <i>With international search report.</i> <i>With amended claims.</i></p> <p><b>Date of publication of the amended claims:</b> 2 December 1999 (02.12.99)</p>	

(54) Title: NON-PLANAR MICRO-OPTICAL STRUCTURES



## (57) Abstract

In one embodiment, the present invention provides a microlens having very small focal length. The present invention also provides a non-planar microstructure having a covering layer which is slowly oxidizing or substantially free of oxygen. The present invention also provides methods for forming such microlenses and microstructures. In addition, the present invention provides a VCSEL which includes one or more non-planar microstructures of the present invention.

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## AMENDED CLAIMS

[received by the International Bureau on 4 October 1999 (04.10.99);  
original claims 1, 16, 19, 45, 69 and 70-72 amended;  
remaining claims unchanged (11 pages)]

1. A non-faceted microlens having a focal length of 50  $\mu\text{m}$  or less.
2. The microlens of claim 1, wherein said microlens has a focal length of 40  $\mu\text{m}$  or less.
3. The microlens of claim 1, wherein said microlens has a focal length of 30  $\mu\text{m}$  or less.
4. The microlens of claim 1, wherein said microlens has a diameter of 30  $\mu\text{m}$  or less.
5. The microlens of claim 1, wherein said microlens is astigmatic.
6. The microlens of claim 1, wherein said microlens comprises a semiconductor material.
7. The microlens of claim 1, wherein said microlens comprises a group III-V semiconductor material.
8. The microlens of claim 1, wherein said microlens comprises GaAs.

9. An array of microlenses mounted on a substrate, each of said microlenses having a focal length of 50  $\mu\text{m}$  or less.
10. The array of claim 9, wherein each of said microlenses has a focal length of 40  $\mu\text{m}$  or less.
11. The array of claim 9, wherein said of said microlenses has a focal length of 30  $\mu\text{m}$  or less.
12. The array of claim 9, wherein each of said microlenses has a diameter of 30  $\mu\text{m}$  or less.
13. The array of claim 9, wherein each of said microlenses comprises a semiconductor material.
14. The array of claim 9, wherein each of said microlenses comprises a group III-V semiconductor material.
15. The array of claim 9, wherein each of said microlenses comprises GaAs.
16. A three-dimensional non-faceted non-planar microstructure comprising a first layer comprising at least one first CVD material selected from the group consisting of: a rapidly oxidizing CVD material and an oxygen-containing CVD material; and a covering layer comprising at least one second CVD material selected from the group

consisting of: a slowly oxidizing CVD material and a substantially oxygen free CVD material, said covering layer substantially covering a top surface of said first layer.

17. The non-planar microstructure of claim 16, wherein said covering layer comprises a group III-V semiconductor material.

18. The non-planar microstructure of claim 16, wherein said covering layer comprises GaAs.

19. A method for making at least one three-dimensional non-faceted non-planar microstructure comprising the steps of:

depositing at least one CVD material through at least one window of a mask layer and an opening in a spacer layer beneath said mask layer to form a non-planar microstructure on a substrate, said mask layer being separated from said substrate by said spacer layer and overhanging said spacer layer; and

removing said mask layer and said spacer layer from said substrate by applying a removal solution containing HF to said spacer layer to form a non-planar microstructure.

20. The method of claim 19, wherein said removal step comprises applying an aqueous solution of HF having an HF:H<sub>2</sub>O ratio of between 1:20 and 1:5.

21. The method of claim 19, wherein said removal step comprises applying an aqueous solution of HF having an HF:H<sub>2</sub>O ratio of about 1:10.

22. The method of claim 19, wherein said spacer layer has an Al concentration of at least about 70%.
23. The method of claim 19, wherein said spacer layer has an Al concentration of at least about 90%.
24. The method of claim 19, wherein said mask comprises GaAs.
25. The method of claim 19, wherein said non-planar microstructure comprises a microlens.
26. The method of claim 19, wherein said at least one non-planar microstructure comprises an array of microstructures on a substrate and said method comprises the steps of depositing said CVD material on said substrate through an array of mask layer windows and spacer openings to form an array of non-planar microstructures.
27. The method of claim 26, wherein said array of microstructures comprises an array of microlenses.
28. The method of claim 19, wherein said non-planar microstructure comprises a semiconductor material.

29. The method of claim 19, wherein said non-planar microstructure comprises a group III-V semiconductor material.
30. The method of claim 19, wherein said non-planar microstructure comprises GaAs.
31. The method of claim 19, wherein said non-planar microstructure comprises SiN.
32. The method of claim 19, wherein said non-planar microstructure comprises a first layer comprising at least one first CVD material selected from the group consisting of: a rapidly oxidizing CVD material and an oxygen-containing CVD material; and a covering layer comprising at least one second CVD material selected from the group consisting of: a slowly oxidizing CVD material and a substantially oxygen free CVD material, said covering layer substantially covering a top surface of said first layer.
33. The method of claim 32, wherein said covering layer comprises GaAs.
34. The method of claim 19, wherein said deposition step is carried out by chemical vapor deposition.
35. The method of claim 19, further comprising the steps of:  
depositing said spacer layer on said substrate;  
depositing said mask layer on said spacer layer;  
etching said at least one window in said mask layer;

etching said at least one opening in said spacer so that said mask layer overhangs said opening; and

cleaning said mask layer, said spacer layer and said substrate to remove impurities therefrom.

36. The method of claim 19, wherein said CVD material comprises the same material as said substrate.

37. The method of claim 19, wherein said CVD material comprises a different material than said substrate.

38. The method of claim 19, wherein said substrate is a top layer of a VCSEL.

39. The method of claim 38, wherein said non-planar microstructure comprises a microlens.

40. The method of claim 39, wherein said top layer comprises a convex layer.

41. The method of claim 38, wherein said non-planar microstructure comprises a convex layer.

42. The method of claim 41, wherein said top layer comprises a convex layer.



43. The method of claim 38, wherein said non-planar microstructure comprises a concave layer.
44. The method of claim 43 wherein said top layer comprises a concave layer.
45. A vertical cavity surface emitting laser structure comprising:  
a vertical cavity surface emitting laser including at least one three-dimensional non-faceted non-planar microstructure.
46. The laser structure of claim 45, wherein said at least one non-planar microstructure comprises a layer located at one end of said laser structure.
47. The laser structure of claim 45, wherein said laser structure includes at least two non-planar microstructures; said at least two non-planar microstructures comprise at least two adjacent layers; and said two adjacent layers are located at one end of said laser structure.
48. The laser structure of claim 47, wherein each of said two adjacent layers is convex.
49. The laser structure of claim 48, wherein each of said two adjacent layers has a different curvature.

50. The laser structure of claim 47, wherein each of said two adjacent layers is concave.

51. The laser structure of claim 50, wherein each of said two adjacent layers has a different curvature.

52. The laser structure of claim 47, wherein one of said adjacent layers comprises a convex layer and at least one of said adjacent layers comprises a concave layer.

53. The laser structure of claim 45, wherein said non-planar structure comprises at least one interior layer of said laser structure.

54. The laser structure of claim 45, wherein said laser structure includes at least two non-planar microstructures; said at least two non-planar microstructures comprise at least two adjacent layers; and said two adjacent layers are interior layers of said laser structure.

55. The laser structure of claim 54, wherein each of said two adjacent layers is convex.

56. The laser structure of claim 55, wherein each of said two adjacent layers has a different curvature.

57. The laser structure of claim 54, wherein each of said two adjacent layers is concave.

58. The laser structure of claim 57, wherein each of said two adjacent layers has a different curvature.

59. The laser structure of claim 54, wherein one of said adjacent layers comprises a convex layer and at least one of said adjacent layers comprises a concave layer.

60. The laser structure of claim 45, wherein said at least one non-planar microstructure comprises a microlens.

61. The laser structure of claim 60, wherein said microlens has an emitting surface and said laser structure further comprises an ITO contact mounted on and covering substantially all of said emitting surface.

62. The laser structure of claim 61, further comprising a ring comprising Au which annularly surround a base region of said microlens

63. The laser structure of claim 60, wherein said microlens comprises a semiconductor material.

64. The laser structure of claim 60, wherein said microlens comprises a group III-V semiconductor material.

65. The laser structure of claim 60, wherein said microlens comprises GaAs.
66. The laser structure of claim 45, wherein said at least one non-planar microstructure comprises at least one convex layer.
67. The laser structure of claim 66, wherein said laser structure further comprises a microlens mounted on said at least one convex layer.
68. The laser structure of claim 45, wherein said at least one non-planar microstructure comprises at least one concave layer.
69. A method for making at least one non-planar microstructure comprising the steps of:
- depositing at least one CVD material through at least one window of a reusable shadow mask to form a non-planar microstructure on a substrate, said reusable shadow mask including an overhanging region which overhangs a spacer region which is directly bonded to said substrate.
70. The method of claim 69, further comprising the step of:
- removing said reusable shadow mask from said substrate.
71. The method of claim 69, wherein said reusable shadow mask comprises Si.

72. The method of claim 71, wherein said reusable shadow mask has an exterior covering of  $\text{SiO}_2$ .
73. The method of claim 69, wherein said non-planar structure is a beam expander of an edge emitting laser.
74. The method of claim 69, wherein said substrate is an edge emitting laser and said non-planar structure comprises a microlens.

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